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ABSTRACT

Summaries of seminar activities and copies of materials distributed before and during the meetings are presented in this report on the sixth in a series of seminars on dissemination processes. Focusing on collaboration in education among public and private organizations, the seminar aimed to help its participants increase their understanding of collaborative activities, improve their involvement in collaboration by contacting ongoing collaboratives or starting new ones, and learn ethnographic techniques for studying collaboratives. Among the materials included in the report are a preseminar work packet for doing research on a collaborative before the meetings; registration handouts, including the seminar program; guidelines for facilitators of the seven discussion groups, called "action research groups"; and a list of participants. Further documents discuss anthropological perspectives on collaboration, give excerpts from the literature on collaboration, and present descriptions of 27 educational collaboratives. The report also provides summaries of the three speakers' main points about collaboration, dissemination, loosely-coupled systems, and ethnographic perspectives; lists tips on collaboration from seven experienced collaborators; and outlines the discussion groups' findings about the commonalities, differences, unique aspects, and key issues of collaborative activities. (RW)

PROCEEDINGS

Dissemination Processes Seminar

Collaboration — A Promising Strategy for Improving Educational Practice

Fort Mason Center
San Francisco, California
October 21-23, 1980

Component No. 2.2.2
DSS Major Event No. 2
Contract No. 400-80-0105

Dissemination Support Service
Dissemination Program
Northwest Regional Educational Laboratory
710 S.W. Second Avenue
Portland, Oregon 97204

December 1980

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INTRODUCTION

"Collaboration: A Promising Strategy for Improving Educational Practice" is the sixth in a seminar series on Dissemination Processes designed and implemented by the staff of the Northwest Regional Educational Laboratory's Dissemination Support Service (DSS). The DSS is a national contractor for the Research and Development Exchange (RDx), funded by the National Institute of Education.

The planning of Seminar VI was influenced by the accumulated experience and knowledge resulting from the interaction and exchange of ideas with the primary clients of the Dissemination Support Service, the Regional Exchanges (Rx's) and the participants of previous seminars. The selection of the topic of Seminar VI took into consideration the needs sensing activities conducted by DSS staff with their primary clients during the National Dissemination Forum in August of 1978 and in a planning conference held in Chicago early in 1979. The purpose of this conference was to determine the potential themes and content of seminars in subsequent years.

Two significant events made a major contribution to the knowledge base of Seminar VI and gave impetus to the selection of the topic of collaboration: one was the results of Seminar IV - "Networking: An Essential Dissemination Process." This seminar was held in Washington, D. C. in October 1979. The second was the study on Interorganizational Arrangements for Collaborative Efforts conducted by DSS staff on behalf of the Regional Program, Program for Dissemination and Improvement of Practice of the National Institute of Education, December 1979. Both of these events brought into focus the timeliness of viewing collaboration as a means of maximizing the uses of limited resources. Furthermore, they generated a knowledge base which has stimulated

interest in further exploration and application of the key ideas about collaboration and collaboratives.

A Word About the Design of Seminar VI. The Seminar design has its roots in action research methodology (Sindall, 1969; Tunnell, 1977). The aim was to identify new ways of gaining and using insights from descriptive accounts (preSeminar work) and to develop emerging theoretical strands.

During the initial stages of the Seminar, constant comparisons and contrasts were made with data collected in advance by Seminar participants. Using the four categories of "commonalities," "differences," "uniqueness" and "critical issues," participants were encouraged to identify some common properties or characteristics about collaboratives and the process of collaboration. Perspectives from the fields of anthropology (Sheila Walker), dissemination theory (William Paisley) and organizational theory (Sue McKibbin) enriched the findings of the action research groups.

Seminar processes required some rigorous "stick-to-itiveness" so that some new themes and patterns emerged from the blending of information on descriptive accounts, formal presentations and, most importantly, ideas and experiences of the participants. Hypothesizing occurs slowly--certainly not at a 2½-day seminar. However, the action research process was modeled, and some new knowledge on collaboration did emerge. The Key Ideas from the Action Research Groups section of this report reflect the contributions to the apparent success of the effort.

The following pages present a compilation of the relevant preSeminar and Seminar materials.

ADVANCE NOTICE

SEMINAR SERIES: DISSEMINATION PROCESSES

COLLABORATION:
A PROMISING STRATEGY FOR IMPROVING EDUCATIONAL PRACTICE

WHERE: Fort Mason Center (three and one-half blocks from Ghirardelli Square) San Francisco, California

There are no hotel facilities at Fort Mason Center. However, there are numerous hotels within a six-block area.

WHEN: October 21-23, 1980

WHO: Sponsored by The Dissemination Support Service
Dissemination Program
Northwest Regional Educational Laboratory

Targeted to NIE's Regional Program contractors.
Other individuals concerned with utilizing dissemination processes for school improvement are invited.

RESERVATIONS ARE LIMITED TO 80: Please indicate your interest by returning the attached registration form as soon as possible.

FOR FURTHER INFORMATION Write or call: Joe Pascarelli 503/248-6870

Northwest Regional Educational Laboratory
710 Southwest Second Avenue
Portland, OR 97204

PRE-REGISTRATION FORM

SEMINAR SERIES: DISSEMINATION PROCESSES

COLLABORATION:
A PROMISING STRATEGY FOR IMPROVING EDUCATIONAL PRACTICE

San Francisco, California
October 21-23, 1980

NAME _____

AGENCY _____

ADDRESS _____

PHONE NUMBER _____ NUMBER REGISTERING _____

TO ENSURE A SPACE, RETURN BY: September 5, 1980

SEMINAR SERIES: DISSEMINATION PROCESSES

COLLABORATION:
A PROMISING STRATEGY FOR IMPROVING EDUCATIONAL PRACTICE

"The basic premise is that collaboration with the private sector will enable the schools to do a better job of imparting the skills that local employers need."

Shirley M. Hufstedler, Secretary of Education,
to the National Alliance of Business

"The Regional Program has selected a strategy of collaboration among existing organizations rather than creating new ones or trying to work through single organizations having a portfolio of services."

1982 NIE/DIP Regional Program Plan

Federal policymakers are increasingly mandating delivery of school improvement efforts on the basis that collaboration is more cost effective, helps to avoid duplication of efforts and enhances the effectiveness of the efforts of many.

THIS SEMINAR WILL:

- Afford you the opportunity to hear from and interact with people involved in establishing federal policy.
- Enhance your understanding of issues related to planning collaborative activities: What is meant by collaboration? What kinds of arrangements and conditions must exist? What incentives foster collaboration? What barriers inhibit collaborative efforts?
- Provide you with a framework for conducting an action research study on collaboratives. This approach will enable you to:
  - Identify conditions necessary for collaboration
  - Gather data on existing collaboratives through a structured interview process conducted prior to the seminar
  - Identify themes and patterns for exploration during the seminar
  - Analyze the data utilizing consultant assistance and material resources available at the seminar
  - Look at applications of your learnings to your workplace.

PARTICIPANTS WILL: Gain skills in ethnographic case study techniques
Hear from experts in the field of ethnographic field research
Apply these learnings to plan new approaches

THIS SEMINAR IS A WORKSHOP. Plan to attend prepared with:

- Completed case study (A pre-seminar work study design will be provided)
- Synthesis of your knowledges and experiences
- Eagerness to learn
- A vision of applying your learnings to your work environment

Northwest Regional Educational Laboratory
DISSEMINATION PROGRAM

PRESEMINAR WORK PACKET

Northwest Regional Educational Laboratory

710 S.W. Second Avenue • Portland, Oregon 97204 • Telephone (503) 248-6800

September, 1980

MEMORANDUM

TO: Seminar VI Participants

FROM: Joe Pasarelli

RE: Preparation for Seminar VI

A major assumption of Seminar VI is that each participant will bring a set of data on collaboration and collaboratives. We propose to make the information you bring the basic ingredient for the consideration and discussion of the presentations scheduled. The presenters will be visiting the different groups in the seminar and listening carefully to the report made by the participants. Their presentations will then be targeted to the major issues and questions discussed by the members of the groups.

We therefore urge you to spend a few hours gathering the information called for in the enclosed questionnaire. We hope that you will interview someone who is directing a collaborative or who participates in one. You may be involved in a collaborative yourself, and choose to generate most of the information yourself.

In the seminar, we plan to involve you in conducting the beginning phases of an action research study on collaboratives. This approach will enable you to:

a. Identify conditions necessary for collaboration.

b. Analyze the data you bring, utilizing the resources of other participants and the presenters in the seminar.

c. Identify themes and patterns for exploration and discussion.

d. Apply your insights and learnings to your own work situation.

The enclosed interview questions are not intended to restrict you. We think they constitute a basic framework for beginning to make inferences and identifying additional questions and methods of collecting information. If you have any difficulties with this approach and find it difficult to collect the information, please call us collect, and let us offer alternative ways of preparing yourself to come to the seminar.

SEMINAR DESIGN

The design of the Seminar calls for an interplay between several action research groups and the presenters.

The group will meet initially to share findings, identify commonalities and differences and begin the process of defining conditions and circumstances which are most likely to produce successful collaboration.

During the group meetings, the presenters will visit groups and listen to the discussions for the purpose of collecting data which will inform their presentations.

In the general meetings everyone will listen to each presenter, paying particular attention to the way in which the presenter's comments relate to the discussions in the action research groups.

A special feature of the Seminar is the introduction of ethnographic approaches for understanding the phenomenon of collaboration. A report of an ethnographer's findings about the "culture" of the Seminar will be the final presentation just before the Seminar adjourns.

The work in the action research groups will be facilitated by persons who are themselves successful collaborators.

REGISTRATION FEE OF $35.00 will help defray the cost of materials, consultants' expenses and facility use.

CHALLENGE OF THE SEMINAR

"The basic premise is that collaboration with the private sector will enable the schools to do a better job of imparting the skills that local employers need."

Shirley M. Hufstedler
Secretary of Education
to the National
Alliance of Business

"The Regional Program has selected a strategy of collaboration among existing organizations rather than creating new ones or trying to work through single organizations having a portfolio of services."

1982 NIE/DIP
Regional Program Plan

Federal policymakers are increasingly mandating delivery of school improvement efforts on the basis that collaboration is more cost effective, helps to avoid duplication of efforts and enhances the effectiveness of the efforts of many.

MANY THANKS TO RESOURCE AND REFERRAL SERVICE, SYSTEM SUPPORT SERVICE AND FAR WEST LABORATORY'S EDUCATIONAL DISSEMINATION STUDIES PROGRAM FOR THEIR DEMONSTRATED SUPPORT!

DISSEMINATION PROCESSES SEMINAR VI

COLLABORATION:

A PROMISING STRATEGY FOR IMPROVING EDUCATIONAL PRACTICE

OCTOBER 21-23, 1980
FORT MASON CENTER
SAN FRANCISCO

Northwest Regional Educational Laboratory
DISSEMINATION PROGRAM

DISSEMINATION SUPPORT SERVICE

SEMINAR SCHEDULE

MONDAY, OCTOBER 20

7:00 TO 9:00 PM REGISTRATION

SEE DIRECTORY IN HOTEL LOBBY FOR REGISTRATION PLACE

TUESDAY, OCTOBER 21

7:45 TO 8:30 AM REGISTRATION

9:00 CONDITIONS FOR COLLABORATION
ACTION RESEARCH GROUPS

12:00 LUNCH

2:00 CONSULTANT PRESENTATION:
TOPIC #1
ACTION RESEARCH GROUPS
QUESTIONS AND ANSWERS

5:00 ADJOURN

WEDNESDAY, OCTOBER 22

9:00 CONSULTANT PRESENTATION:
TOPIC #2
ACTION RESEARCH GROUPS
QUESTIONS AND ANSWERS

12:30 LUNCH

2:00 CONSULTANT PRESENTATION:
TOPIC #3
ACTION RESEARCH GROUPS
QUESTIONS AND ANSWERS

5:30 ADJOURN

THURSDAY, OCTOBER 23

9:00 MAKING CONNECTIONS:
IMPLICATIONS
AND APPLICATIONS
ACTION RESEARCH GROUPS

11:00 CONSULTANT PRESENTATION:
ETHNOGRAPHIC REPORT
OF SEMINAR SETTING.

12:00 ADJOURN

CONSULTANTS AND COLLABORATORS

JACK CULBERTSON, Executive Director
University Council for Educational Administration

HARRIET DOSS-WILLIS, Director
Urban Education Program
CEMREL, Inc.

CAROLINE GILLIN
Region IX Commissioner
of Education, San Francisco

DIANE LASSMAN, Director, EXCHANGE
University of Minnesota
Teacher Center

DREW LEBBY
Senior Program Officer
for Policy and Planning
U.S. Department of Education

ERNEST McDONALD, Consultant
Environmental Education
U.S. Forest Service

SUE McKIBBIN
Associate Program Manager
Educational Dissemination
Studies Program
Far West Laboratory

VIVIAN MONROE, Director
Constitutional Rights Foundation

MARLYS OLSON, Director
Child Abuse Prevention
and Treatment Program

ANTHONY VEGA, Director
Bilingual Education Service
Center, Los Angeles Basin

SHEILA WALKER, Anthropologist
University of California
Berkeley

Northwest Regional Educational Laboratory
DISSEMINATION PROGRAM

PURPOSES OF THE SEMINAR

- TO ENABLE PARTICIPANTS TO ENHANCE THEIR UNDERSTANDING OF ISSUES RELATED TO PLANNING COLLABORATIVE ACTIVITIES

- TO PROVIDE THE OPPORTUNITY FOR PARTICIPANTS TO MAKE APPLICATIONS OF THE KNOWLEDGE GAINED AT THE SEMINAR FOR:
  - -- ENHANCING THEIR INVOLVEMENT WITH EXISTING ACTIVITIES
  - -- INITIATING CONTACT AND INVOLVEMENT WITH EXISTING COLLABORATIVE EFFORTS
  - -- DEVELOPING NEW EFFORTS FOR COLLABORATION

- TO ENABLE PARTICIPANTS TO GAIN AWARENESS OF ETHNOGRAPHIC TECHNIQUES FOR UNDERSTANDING THE PHENOMENON OF COLLABORATIVES

SUGGESTED PROCEDURES
for
PREPARATION TO ATTEND THE SEMINAR ON COLLABORATION
San Francisco
October 21-23, 1980

1. Determine what collaboratives exist in your area. Select one for your study. You may already belong to a collaborative and can use it for your study.

2. Make contact with the person directing the collaborative or a participant in the collaborative. Request an appointment for a personal (or phone) interview.

3. Mail enclosed questionnaire to the person you have contacted and suggest that the interview be guided by the questions in the questionnaire. You may want to assure that person that the interview can be flexible and can depart from the questions you are sending.

4. At the appointed time, make the call and conduct the interview.

5. Summarize the results of your interview and bring six copies with you to the seminar.

6. Study your data and list themes or patterns you discern.

INTRODUCTION TO QUESTIONNAIRE

The overall questions and issues we will be dealing with at the seminar are:

- What is meant by collaboration?
- What kinds of collaborative arrangements exist?
- What are the requirements for successful collaboration?
  - -- What arrangements?
  - -- What conditions?
- What barriers inhibit collaboration?
- What incentives foster collaboration?

INTERVIEW QUESTIONS

The information collected by means of the interview will serve as the basis for study and analysis at the seminar, and with the assistance of other participants and the consultants present to gain understanding, insights and new knowledge.

Name of Collaborative _____

Target Population _____

Major Concern/Issue/Activity _____

I. Description of the Collaborative

A. Purpose

What are the outcomes or goals or objectives or intentions of the collaborative?

B. Development

1. Describe how the collaborative got started and developed.

2. What is the energy source, the source of vitality, of the collaborative?

C. Impetus

Who or what provides the incentive for fostering and maintaining the collaborative?

D. What is unique about the collaborative?

II. Organization of the Collaborative

A. Organizational Interactions

1. What organizations are the major actors interacting within the collaborative? To what extent? In what ways?

2. What procedures and policies have influenced the formation and maintenance of the collaborative?

B. Funding

What are the sources of funding? What are the funding structures?

C. Strategies

1. Collaboratives can be seen as potentially employing one or all of the following overall strategies:

-- Resource sharing
-- Group problem solving
-- Program development
-- Service delivery

Which one or ones would be most descriptive of the strategy(ies) used?

2. Does the collaborative employ other major strategies? What are they?

III. Concluding

A. Impact

What constitutes impact for the collaborative?

B. Choose one event which you have experienced or know about in the collaborative that, in your opinion, typifies collaboration. Please describe:

-- The setting
-- The context
-- What transpired
-- Who was involved
-- Results/effects/consequences
-- What did you learn from it?

C. What are some assumptions made by people in the collaborative that reflect certain traditions, roles, values, norms?

D. What inferences would you make about notions in people's minds about what is expected and allowed in the collaborative? What effect does this have on the collaborative?

QUESTIONS ON COLLABORATION

- What is the relationship between individual integrity and group responsibility in a collaborative effort?
- What is the relationship of leadership, authority, and role in "collaborative situations"? How is authority vested, power shared, and decisions made? Are there models of decision making and communication more conducive to collaboration than others?
- Are there different levels or kinds of collaboration, i.e., personal, social, political, economic? Are problems of collaboration compounded by ethnic and cultural differences and in what ways?
- Are there common elements in collaboration regardless of task, role, or characteristics of the members? Are there tasks which are impossible to accomplish without joining with others to work collaboratively? What human endeavors lend themselves to collaboration? Are there ways of determining when collaboration is counter-productive?
- Do women collaborate differently from men, and, if so, what is the nature of the difference?
- What is the relationship between collaboration and creativity? Is collaboration socialized creativity?
- What effect does the stability or the newness of an organization have on the collaborative process?

JABS, Vol. 13, No. 3, 77, pp. 371-372

Multi-Ethnic Collaboration to Combat Racism in Educational Settings.

Mary Rita Donleavy
Clementine A. Pugh

COOPERATION WITHOUT COLLABORATION

Collaboration--	Cooperation--
Involves a moral dimension which raises the issue of social goals.	Does not involve a moral dimension.
Requires close ideological agreement.	Does not require ideological agreement.
Requires a serious matter and significant goals.	Deals more with ordinary matters without necessarily significant goals.
Involves a total entity or change effort.	Involves facets of the total entity or parts of the change effort.
Tends to be more goal oriented and a long-term effort.	Tends not to be goal oriented and is a short-term effort.
Is a complex, multidimensional process.	Is a simple, sometimes mechanical, process.
Is likely to be emotionally charged and involves more commitment of self.	Calls for low emotional involvement and requires less commitment of self.
Is voluntary, requires conscious decision and full awareness of task, actions and activities.	Can be automatic, without full knowledge of the task, actions, and activities.
Precipitates coercion, collusion co-optation, compromise, conspiracy and conflict.	Is a major component of collaboration of a different order than coercion, collusion, etc.

JABS, Vol. 13, No. 3, 1977, p. 369

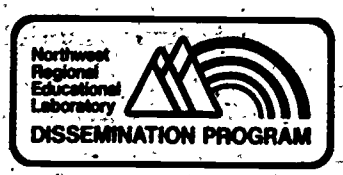
Multi-Ethnic Collaboration to Combat Racism in Educational Settings
Mary Rita Donleavy
Clementine A. Pugh

EXCERPTS FROM

INTERORGANIZATIONAL ARRANGEMENTS FOR COLLABORATIVE EFFORTS*

*Prepared by the Dissemination Program

Northwest Regional Educational Laboratory



REVIEW OF LITERATURE

Rationale for Collaboration

Considerable encouragement exists in educational literature for collaborative associations, joint problem solving and interorganizational resource sharing. Similarly, in medicine, mental health and community services, concern with successful cooperative program planning and service delivery is a very real and reoccurring issue. As Bertram Brown, former director of the National Institute of Mental Health commented, there is a powerful momentum to increase efficiency in the human services and to provide for the most effective use of resources available. For many other policymakers, researchers and program administrators, collaborative agreements between agencies, organizations and institutions offer the only probable solution to the problems of increasing service needs, decreasing budgets and current frustrations with piecemeal and inadequate approaches to complex problems. There is in the literature, then, a general mandate for collaboration and a general consensus that it is an imperative for institutions in our society, including schools, in order to maintain quality programs, maximize limited resources and avoid wasteful and inefficient duplication of services.

However, despite common agreement on the real need for organizational and institutional collaboration, there are few documentors of or participants in the process who do not openly recognize the demands and complexities of the task. As one federal policymaker acknowledges in commenting on collaboration among a federal institute, an R&D center and a school district, "Collaboration is tough but needed. It takes patience and time to build it and still maintain reasonable productivity." (Brown, 1977). Other writers on collaboration point to a multitude of

potential pitfalls that increase the inherent difficulty in establishing collaborative arrangements. These include the all too frequent tendency to be overly ambitious and promise more than can be delivered or to vastly underestimate the time it will take. (Gross, 1977) Others note that it is unrealistic to expect cooperation to solve all problems and that individuals frequently underestimate the time and energy that needs to be expended to make a collaborative work. (Jacobsen, 1973; Parrucci, 1977) Moreover, effective and thorough planning may be the most critical--and often most overlooked--ingredient in any successful joint interorganizational venture. (Gross, 1977) Program developers in the area of human service integration similarly note that although integration of services can increase the efficiency and resource availability of providers, many groups will fight integration because it may mean a loss of organizational autonomy and program visibility. (Kelty, 1976)

These words of caution and identification of potential obstacles existing in interorganization collaboration are included in this introduction to provide a more balanced perspective on the demands involved in the collaborative effort. As one author noted, "Collaboration is by no means a panacea to arriving at quality decisions or to implementing high calibre projects." (Crandall, 1977) Despite this, most authors continue to agree that carefully planned and structured interorganizational efforts offer one of the most effective methods of identifying and implementing programs that are more comprehensive and inclusive in scope than could be developed or undertaken by any single agency or institution.

Although collaborative efforts in education and other human services hold rich potential rewards, the more relevant current literature cautions that collaborative success will occur only if we clearly understand the

potential barriers and the requirements for successful ventures. The literature also acknowledges that we have just begun to pay attention to the nature and characteristics of the collaborative process. As Hall and Hord appropriately comment, ". . . not all collaborative relationships are the same; as a matter of fact, very little is understood about how to establish and maintain working collaborative relationships between formal organizations." (Hall and Hord, 1977).

The purpose of this paper, then, is to determine what promotes successful collaboration, and what pitfalls interfere with its occurence. From this analysis and discussion, it should be possible to move one step closer to understanding when collaborative approaches may be advantageous and what kinds of personal and organizational requirements are called for to make them work.

In preparing this review of the literature, some of the questions used to guide the analysis of collaboration included:

- What is meant by collaboration?
- What kinds of collaborative arrangements exist?
- What are the requirements for successful collaboration to occur?
- What barriers inhibit collaboration?
- What incentives foster collaboration?

Examples of successful collaborative efforts were sought in education, medicine, mental health and the social sciences. Drawing on experiences in multiple disciplines was an attempt to arrive at a more varied approach to determining when and how collaboration offers resolutions to inter-organizational problems. In doing so, however, the underlying purpose is to increase understanding of how collaborative efforts can work to improve education.

Defining and Describing Collaboration

The literature on collaboration describes a considerable array of interorganizational efforts involving resource sharing, group problem solving, program development and service delivery. Organizations have applied collaborative frameworks in various settings to carry out a range of functions including: planning more effective interagency staff development; developing intercollegiate resource sharing and inter-institutional curriculum arrangements; involving business and industry in preparing students for the work place; incorporating community organizations in efforts to improve the schools; and integrating and coordinating community social service agencies to provide centralized referral and followup.

More frequently than not, the term collaboration is used interchangeably with the terms cooperative, consortia, alliance and service integration. This illustrates the wide range of parameters in collaborative efforts and the continuum that exists between collaborations emphasizing communication and those focusing on program integration. One author illustrates this by noting that organizational arrangements may vary from ad hoc advisory groups with little power to governing boards with the ability to set priorities and affect the allocation of resources. (Mittenthal, 1976) For the purposes of this paper, however, interorganizational collaboration is viewed as distinct from organizational cooperation. As is aptly pointed out in a paper on collaboration between schools and business and industry, cooperative associations involve institutions serving together in an advisory capacity. Collaborative groups, on the other hand, involve organizations participating in shared decision making, where negotiation becomes the central process in working together. (Rath, 1978) A description of collaboration in the health

services further identifies important aspects of the process. It specifies mutual determining of service delivery needs and priorities, carrying out joint programming and coordinating and centralizing agency functions such as client intake and followup. (Parrucci, 1977) These descriptions indicate that collaboration involves interagency communication, mutual determination of priorities, shared decision making and the development of an action plan that requires active participation from the organizations involved. In other words the group itself has power to take action and through specific agreements to arrive at a modification of the existing organizational commitments of participating institutions.

Crandall contributes further to a definition of collaboration by commenting that it is:

> . . . the process of working together to solve problems and act on the solution under circumstances where all parties believe that a mutually agreeable solution is possible and that the quality of its implementation, as well as the level of satisfaction they will experience, will be improved by virtue of engaging in the process. (Crandall, 1977)

In this definition the author emphasizes group problem solving and program implementation which can be arrived at in a mutually advantageous manner allowing all participants to benefit equally and devise outcomes that are superior to those of any single individual or organization operating on its own.

In an AERA paper on "The State Capacity Building Grants Program in Dissemination: The Federal Evaluation Perspective," Mary Ann Millsap further delineates some of the important characteristics of collaboration:

1. Each party's decision to become involved in the joint venture results from choice; participation is voluntary.
2. All parties have an equal stake in the activities undertaken, usually involving the contribution of equal amounts of money, time and effort.

3. All parties have an equal stake in the consequences of the activities, whether good or ill.

4. Within the process of collaboration, decision making is shared, or each party has veto power over what is undertaken.

5. Each party is dependent upon the others for the accomplishment of the work--that each, on its own, could not accomplish.

6. Lastly there is a common understanding of expectations of what each party is to do, including knowledge of the constraints or limitations under which each party is operating. (Millsap in Rath, 1978)

Millsap's characteristics of collaboration emphasize voluntary participation; equal participation in decision making, in assuming responsibilities, and in sharing work assignments; interdependence and personal interaction; and common understanding of obligations and constraints. Other authors stress that collaboration must involve an organized effort with clearly defined plans for substantive action which elicit mutual involvement from all participants. (Barton) Collaboration also calls for a willingness among institutions to submerge some of their own self-interests to accomplish larger goals (Rath, 1978), as well as a mutual belief that collaboration will result in benefits to individual organizations as well as the group as a whole.

The definitions and descriptions of collaborative efforts illustrate the key features or characteristics of collaboration that are emphasized in the literature. These include:

- Active, working partnerships among individuals and organizations
- Shared responsibility and authority for policymaking
- Equal investment and benefits for participants
- Common understanding of expectations, responsibilities and constraints
- Interdependence in carrying out activities
- Organized format for communicating and planning
- Shared information and development of a common plan of action

A Perspective on Barriers to Collaboration

In the introduction to this paper we referred to a few of the difficulties involved in carrying out successful collaborative arrangements. This section takes a closer and more detailed look at some of these issues in an effort to understand the process of collaboration and where current attempts may be falling short.

According to current authors, one of the most prevalent problem areas for those undertaking collaborative efforts is a failure to recognize the high level of demand collaboration places on participating individuals and organizations. At the onset most initiators are spurred on by an abstract vision of improved service, increased efficiency and better utilization of resources. In light of these potential assets, few organizations or individuals take a hard, critical and evaluative look at what can realistically be accomplished, how much time it will take, and what resources, both human and financial, are available for the task. (Gross, 1977; Crandall, 1977) Moreover, the absence of clear parameters and realistic objectives for the collaboration increases the possibility that the initiating organization will be perceived as a threat and forced to spend a major portion of time convincing participants of the need for the project rather than focusing on accomplishing tasks. (Parrucci, 1977)

Consequently, those experienced in developing organizational collaborations note that initiating collaboration on an ad hoc basis without careful forethought, planning and selection of participants can bring about immediate and far reaching difficulties.

A second potential problem area is attempting to collaborate with institutions and organizations without giving careful consideration to

ground rules. Organizations with potentially conflicting agendas and differing goals and objectives must be assured that decisions will be arrived at by consensus and not coercion, and that all organizations will have equal power. Consequently, authors on collaboration related internal group divisiveness to the failure to determine how conflicts will be resolved, the absence of skilled mediators and the inability to confront differences and disagreements openly. As one documentor commented, although resolving differences can be constructive and lead to formulating new ideas and new relationships, these resolutions often result in revealing new differences which call for additional negotiation and problem solving. (Congreve, 1969)

Finally, the probability of successful collaboration is diminished if institutions fail to identify participants that have the potential for meaningful commitment and followthrough. If organizations lack internal stability, strong, competent leadership, and are focused on internal power struggles rather than external activity, the chances of coordinating a collaborative undertaking are minimized. (Gross, 1977; Hall and Hord, 1977; Rath, 1978) As Hall and Hord point out in a discussion on collaboration involving an R&D center and two school districts, collaborative activities are impeded by organizations that are focused on internal concerns and unresolved power struggles. (Hall and Hord, 1977) Other authors note that if support for the collaborative activities is lacking, or if the organization is saddled with regulations and restrictions, followthrough for the collaborative effort is indeed unlikely. (Crandall, 1977; Gross, 1977)

In summary, then, some of the issues identified in the literature that impede collaborative efforts include:

1. Confusion about what is possible and what is desired from the activity.
2. Unwillingness to take time to plan and organize the effort.

3. Failure to establish operating procedures that ensure equal power and participation.

4. Inadequate negotiating skills among participants.

5. Selection of organizations that are unlikely to be able to carry through an activity.

Considerations for Successful Collaboration

Only a limited number of the studies on collaboration analyze the collaborative process and identify factors critical to the success of these activities. The three authors selected, however, give a range of perspectives on the variety of forces that affect interorganizational collaboration and the issues that foster collaborative arrangements.

In a description of collaboration among a university, a school district and a community organization, which was formed to improve urban education, Willard Congreve outlines some of the critical tasks used to build group commitment and solidarity. At the outset of the effort this group successfully challenged a proposal for their activities rejected by USOE. Success in acquiring funding provided a tangible and clearcut reward for the group and resulted in an impetus for further collaborative action. Other important experiences in the collaborative process included:

1. Establishing group ground rules which required concurrent approval of all three institutions for all decisions, equal representation from each group and rotating chairman.

2. Defining the general purpose of the group and coming to terms with clear differences on certain goals and accommodating these differences.

3. Carrying out a group task which involved assessing educational needs and problems in the district.

4. Developing a plan to address these educational needs and acquiring approval for an experimental program.

Congreve stresses the importance of having the group deal with real issues: "Without issues the board members cannot create mechanisms necessary to convert differences into collaborative relationships." He also documents the importance of beginning with a visible accomplishment, developing activities for real participation for members, and concluding with a plan that could make a real difference in the educational delivery of services.

Two other papers, one by David Crandall and the other by Charles Mojkowski and Neal Gross, also provide useful insights into some of the broader personal and organizational issues in collaboration. Crandall, in his personal perspective on the challenges of being involved in a collaborative organization, makes some incisive points about requirements for effective collaboration. Collaboration, he notes, seems to work most easily when the tasks are rather straightforward, but not so easily when they are highly complex. Moreover, for success, the participants must believe that they and their organizations can achieve their most important goals.

Crandall also focuses on some of the important intraorganizational characteristics in collaboration which include a need for:

1. A reservoir of personal energy available to promote and sustain progress during setbacks and conflicts.
2. A level of organizational stability which encourages a "freedom to risk."
3. Commitment of individuals to the task at hand and understanding of its relation to the organizational mission.
4. A wide repertoire of systematic problem solving skills.
5. Advocates in the organization supporting collaboration.

Finally, Mojkowski and Gross provide a thorough assessment of problems in interorganizational relations that may interfere with effective collaborative efforts. They note that organizational role definition

and staff competency are of major importance. More specifically, an organization initiating collaboration must clearly state its intent, arrive at a specific division of labor among agencies, allow for clear rewards and benefits from the commitment, and establish realistic and mutually useful parameters for its activities. Mojkowski and Gross also call for realistic planning of collaborative efforts, including careful staging or sequencing of tasks and anticipation of barriers. The authors caution against making unrealistic promises and state, ". . . it does not take long for participants to realize that they have become involved in a collaborative activity that will draw upon their limited resources but has little possibility of achieving its stated objectives." To be successful, moreover, collaboration calls for highly competent leadership, participants that are not already experiencing role overload, and ability to give the effort priority status within the context of the organization. Mojkowski and Gross also pay particular attention to the kinds of organizations that are effective in collaboratives. These include groups with organizational flexibility that are focused on external issues rather than internal problems and have competent leadership and staff with strong negotiating skills.

Implications for Future Collaborative Efforts

Institutions must pay close attention to the proposed level of collaborative involvement to be undertaken. Activities will potentially occur at three levels: the first is brokering and technical assistance; the second is policy development and advocacy; the third is coordination and management. (Ungerer in Rath, 1978) Each level requires an increasing degree of organizational and individual commitment from participants. The organizations anticipating collaborative enterprises

should be urged to critically assess their anticipated level of involvement and consider the potential benefits and liabilities involved in carrying out the collaborative venture. A number of authors caution institutions not to assume that most tasks lend themselves to collaboration. They note that some projects in fact do not warrant the psychic and economic costs of its use. Moreover, collaboration may work effectively in certain settings for planning, but be undesirable for implementation. (Crandall, 1977; Jacobsen, 1977)

The literature also clearly indicates that successful collaboration activities must have priority status in the organization and not be undertaken in a casual, ad hoc manner. Time should be allowed for planning and development, and recognition should be given to the need for collaboration to develop in graduated stages. Furthermore, acquiring skill in negotiation and cooperative decision making is vital. Doing so may necessitate technical assistance during the formative and maintenance stages of the group effort.

If collaboratives are to be effective means of resource sharing and program development, they must provide clear-cut benefits to participating institutions. This includes striking a balance between interdependency and interagency sharing, and maintaining autonomy appropriate to the needs of each institution. Attempting to undertake any tasks that will substantially reduce the independence or visibility of any single organization will increase the potential for internal resistance by participants.

Careful selection of organizations to participate in collaboration is also a vital consideration. Organizations selected should have a level of internal stability and organizational flexibility, skilled leadership, adequate staff time for participation and a recognition of the collaborative effort as an activity directly related to their organizational mission.

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Congreve, Willard, J. "Collaboration for Urban Education in Chicago: The Woodlawn Developmental Project." Education and Urban Society, February, 1969.

This article describes specific steps involved in establishing a working collaborative among a university, a school district and a community organization. The collaborative was formed to improve urban education. Its development illustrates some of the critical tasks involved in building group commitment and solidarity.

The group's initial success in acquiring funding was, according to the author, a tangible and clearcut reward that provided impetus for further action. Other important steps included: establishing mutually acceptable ground rules; specifically defining the purpose of the group and accommodating differences in goals; conducting a group assessment of educational needs and problems; and mutually developing a plan to address the problem areas identified. Congreve stresses the importance of having the group deal with real issues, not theoretical concerns. He also documents the significance of beginning with a visible accomplishment, developing activities for meaningful participation, and concluding with a plan that could make a substantial difference in the educational delivery of services.

Crandall, David P. "An Executive Director's Struggle to Actualize his Commitment to Collaboration." Applied Behavioral Science, Vol. 13, November, 1977.

In this personal assessment of the challenges of being involved in a collaborative organization, Crandall makes some incisive points about requirements for effective collaboration. He comments that collaboration seems to work most easily when the tasks are rather straightforward, but not so easily when they are highly complex.

Crandall also outlines some of the important interorganizational characteristics in collaboration. These include a need for: (1) a reservoir of personal energy to sustain progress during setbacks and conflicts, (2) a level of organizational stability which encourages a "freedom to risk," (3) commitment of individuals to the task at hand and understanding of its relation to the organizational mission, (4) a wide repertoire of systematic problem solving skills and (5) advocates in the organization supporting collaboration.

Not all tasks, Crandall concludes, lend themselves to collaboration. Some projects do not warrant the psychic and economic costs of its use. Collaboration, moreover, may work effectively during certain stages of development; for example it may work well for planning, but be less desirable for implementation.

Mojkowski, Charles and Neal Gross. "Interorganizational Relations: Problems in the Design and Implementation of the Research and Development Exchange." Information Dissemination and Exchange for Educational Innovations: Conceptual and Implementation Issues of a Regionally Based Nationwide System, December, 1977.

This paper provides a thorough analysis of interorganizational problems that can interfere with establishing effective collaborative efforts. The authors assess organizational capabilities, identify potential problem areas and suggest alternatives for overcoming barriers to collaborative activity. In doing so they urge taking a hard headed and realistic assessment of the new role demands called for in collaborative efforts before engaging in them.

In determining the capacity of an organization for collaboration these issues are significant: flexibility of the organization; disposition toward innovation; the organization's stability or instability; leadership capacity and staff competence and ability to focus on external activities rather than internal problems and conflicts. Organizational effectiveness in a collaborative setting relate directly to these qualities.

The authors also point out that establishing viable interorganizational relations and minimizing threat to established agencies calls for a clear division of labor among agencies; agreed upon ground rules; a modest initial project that will validate roles of the collaborative organization; and clearcut rewards and benefits from participation.

Finally, successful collaborative ventures are often blocked by a failure to carry out comprehensive planning at the onset. This includes considering the potential barriers that may be encountered during each stage of development and preparing alternative strategies for dealing with them.

Rath, Susan and Rex Hagans. Collaboration Among Schools and Business and Industry: An Analysis of the Problems and Some Suggestions for Improving the Process. Northwest Regional Educational Laboratory, 1978.

Collaboration between education and business is currently viewed as almost a necessity. But few, contend these authors, know what collaborative efforts require or how one goes about accomplishing them. In an effort to further understand the process this paper presents some current definitions and assumptions about collaboration, assesses some of the barriers to its accomplishments and examines the relationship between collective bargaining and collaboration.

Collaboration, note the authors, is distinct from cooperation. Cooperation involves groups or individuals acting in solely an advisory capacity, while collaboration calls for them to share mutually in the decision making process and to negotiate solutions to issues of mutual concern. Collaboration is, moreover, difficult to foster. Problems such as poor communication, insufficient authority, lack of strong leadership, inability to focus on a specific project and unwillingness to share in the decision making are obstacles that frustrate many attempts to collaborate. Successful collaborative efforts, on the other hand, involve the investment of participants, shared decision making, common understanding of roles and responsibilities, effective leadership and careful planning and organization.

The second half of this paper examines the collective bargaining process and how it may serve as a basis for developing more effective methods of collaborating. To do so, contend the authors, requires that individuals develop an understanding of negotiation and acquire the prerequisite skills to use it in collaborative settings.

Yin, Robert K. Changing Urban Bureaucracies: How New Practices Become Routinized, Executive Summary. Rand Corporation, Washington, D. C., March, 1978.

In order for practice in any organization to be changed and ostensibly improved, organizations must thoroughly incorporate new activities. Yin's study provides insights into the process used by urban bureaucracies to integrate new practices into their operating procedures.

Similar to conclusions in educational studies, Yin found that internal conditions rather than external incentives (i.e., federal initiatives) have a major impact on incorporation of new practices. Specific internal conditions that proved critical included having individuals use the innovation as frequently as possible and as a regular agency practice rather than as a separate project. The new practice, moreover, had a better chance of surviving if it completely displaced the old procedure. In addition to constant use of the new practice, it must also continue to gain increased support from agency practitioners. Yin determined this was most likely to happen if the innovation operated effectively in the eyes of the practitioner. These benefits, the author notes, might well be different than those evaluated by external evaluation.

Along with practitioner support, successful innovations required the specific support of top agency administrators. Without their advocacy new practices seldom were routinized and continued to be viewed as special projects.

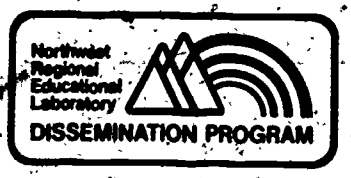
EXCERPTS FROM

NETWORKING: EDUCATIONAL PROGRAM POLICY FOR THE LATE SEVENTIES

by

Saul B. Cohen and Elizabeth Lorentz

Dissemination Processes Seminar VI
San Francisco, CA October 21-23, 1980



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Networking: Educational Program Policy for the Late Seventies

by
Saul B. Cohen, Clark University
and Elizabeth Lorentz, Armonk, New York

This paper derives from the authors' experiences with networking-formation activities which have been conducted by Seymour Sarason of Yale University for the last four years. A more complete view of their understanding of networking may be found in Human Services and Resource Networks, *by S. Sarason, C. Carroll, K. Maton, S. Cohen, and E. Lorentz, San Francisco: Jossey-Bass, 1977.*

Much of what gets done in life is accomplished through loose, informal arrangements that exploit sets of connections among people. In effect, ideas and actions circulate within and among networks of people. They are energized, supported, evaluated and modified, in making their way from inception to implementation. Sometimes people networks are very close-knit, defined by class, profession or economic status—e.g., college alumni or Wall Street lawyers. At other times networks are wide open, based upon individuals and groups from varying backgrounds who develop relationships out of a common experience—e.g., the Civil Rights or anti-Vietnam War movements. Networks are used to get someone a job, to start a business, to find a house and to organize a political campaign.

Most networks that involve people just happen—through accident of birth, educational setting, or through job tracks. They are rarely planned and engineered. On the other hand, networks involving "things"—from transportation to telecommunications—are made from scratch. They are planned and engineered. These engineered networks are closed systems. Every node and link has a function designed to meet an overall objective. Opening a machine to the unexpected, the unknown or the unassimilable can cause the system to grind to a halt—e.g., sand in an automobile carburetor, or a blown fuse in a spacecraft.

Even those people networks which seek to be closed to outsiders can never be hermetically sealed. When such networks approach the state of being closed systems, they tend to lose energy and momentum. Shut off from the influx of new people and new ideas, they are likely to wither on the vine and die. The most successful and long-lived people networks (like the most successful civilizations) are the ones that remain open to newcomers. These kinds of networks provide multiple pathways along which individuals can establish links with one another and to third parties and beyond.

The planning and designing of people networks is still in its infancy. While sociologists and social anthropologists have recognized the importance of social networks and have analyzed their modes of operation, the attempts to engineer such networks have been relatively few. Yet it seems to us that the deliberate creation of people networks represents a major opportunity for advancing a wide variety of national objectives.

(Continued on page 2)

Theory and Structure of Networking

"People" networks are voluntary associations, in which individuals from a variety of jobs, class, and personal perspectives participate out of a sense of enlightened self-interest. Network members define other members as resources whom they can exploit in tackling a problem. The larger the number of members, the greater variety of ways in which the talents of these members can be classified, the higher the number of interconnecting links, and the more systematic the direction of the flows that connect the links—the more powerful is the potential of the network.

Networks are not groups of people with identical interests. They consist, instead, of people who can tackle a problem in common from different vantage-points, who can exchange different points of view, and who can find strength in a certain amount of challenge and opposition. A network is a group, then, that finds ways of pulling together, deriving strength from overcoming forces that tend to pull the group apart.

Because the network should consist of dissimilar people searching to attain a common objective, it must be continuously open to the entry of new members, as well as initially open to diverse persons. If a group's membership is fully defined and closed off in advance, it is not likely to be receptive to the introduction of new resources and energies, especially those that appear to threaten and challenge the status quo.

What so often leads groups to develop an "insider-outsider" dichotomy, and therefore to become parochial, is an overriding concern with hierarchy. No group is ever completely devoid of hierarchy. The question for networks is whether the hierarchy is rigid or flexible. For people networks to work, the structure must encourage flexible hierarchy. On any given issue to which the network addresses itself, it should be possible to change the hierarchical structure to take advantage of individual resources and talents. Flexible hierarchy also facilitates shifts in topics and issues.

Networks are functional systems, dealing with matters of actual or potential need. By being able to adopt new missions and objectives more easily than organizations which tend to become ends unto themselves, networks avoid becoming "relict" systems. Because these networks are functionally directed, continuously adopting new tasks, they may seem to be unstable as individual interests change and the roles of individuals shift within the hierarchy. Such short-term instabilities are overcome, however, by the common interests of the members in focusing on the flow and interchange of ideas and activities, and on the emphasis on the qualities of the individual as resource. Under these conditions, network members can tolerate delayed gratification. They are able to grin and bear a particular problem of relatively little interest to them, for they know that their interests and worth will eventually be tapped by the network's shifting its action focus. Thus, any short-term instability is really an element that makes for long-term, dynamic equilibrium.

Who are members of networks? People with something in common who have stable bases in their professions, jobs, or community's organizational life, but are not satisfied that their home bases offer them the variety of resources they need to exchange information, to learn new things, to give and receive help, and to fulfill their desires for personal development and for self-expression. Networks provide a framework of higher-order motivation for perceiving self and others as human resources to be tapped and exchanged.

In many ways, a network permits us to escape the constraints of our day-to-day life systems by tackling higher level issues. But this does not mean that the network's operational environment is any less real. On the contrary, networks have to deal with real-world problems that are of direct value to the individual. Networks are not a literary salon, a sensitivity-training session, or a think-tank. They are an idea exchange in action settings. Because the settings are detached from the individual's day-to-day operational base, a wide variety of problems can be addressed more effectively.

The Structure of a Network

People networks operate in settings structured to facilitate interaction. This structure has several elements:

1) Mechanisms for identifying and cataloging the members (existing and potential) in terms of what they have to offer as resources (this is both in terms of individuals and agencies).

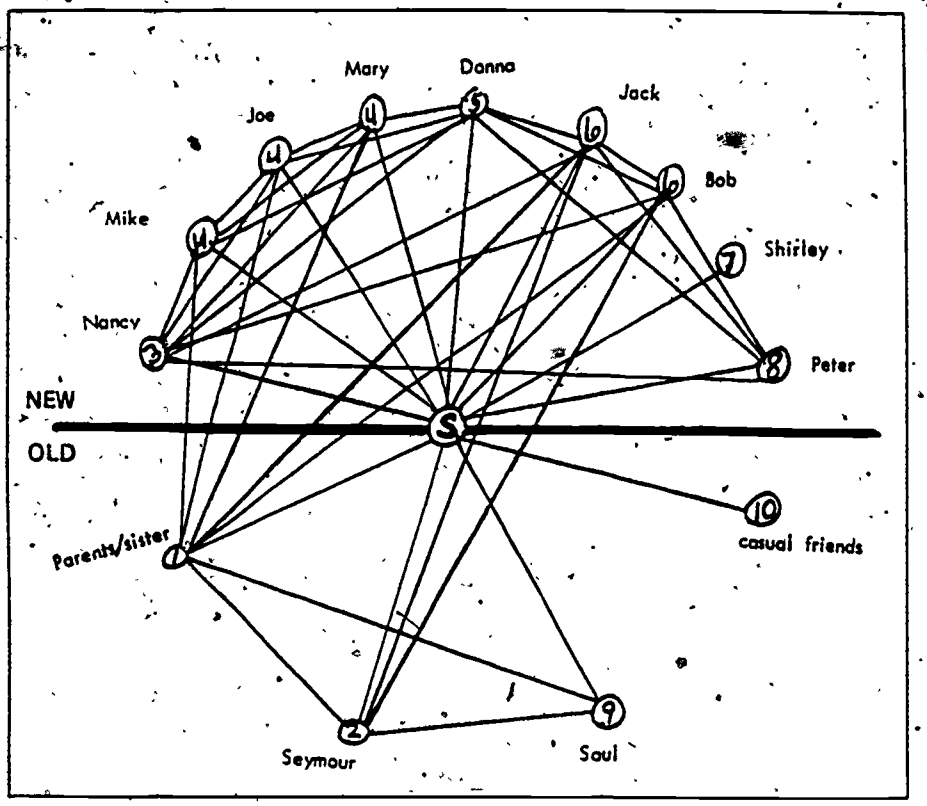
2) Techniques for mapping or charting the sequence of actions that emerge as a result of the network's bringing individuals and agencies into contact with each other, either directly, or through third, fourth, and even more removed parties. At a certain point, this mapping ceases to be mere description of what has serendipitously occurred. It becomes the basis of a plan for generating working contacts that will help the network achieve particular goals and purposes.

3) Resource exchange banks which balance out the demands upon individual members who are called upon to tap the resources of institutions or agencies for network tasks. The resources exchange insures multiple-way rather than one-way flows. The exchange is a ledgerbook. Its members' accounts are balanced by exploiting resources to the fullest through the combination of direct and indirect calls upon individual talents.

4) Membership recruitment policies that insure that the boundaries of the network will remain open, by deliberately planning for infusion of new people. The most rational way of expanding network boundaries is to bring selected indirect contacts (i.e., third-, fourth-, or more-order contacts) directly into the network. For this the mapping of working contacts is crucial. Both the construction and, especially, the expansion of networks require planning. Individuals may serendipitously become involved, but the network's general direction has an *intentionality* to it that gives it coherence.

5) Building in structural flexibility by organizing network sub-groups as operational groups. Here the analogy is taken from the medical and psychiatric fields, where teams are established consisting of individuals with different skills to work with a patient. As the patient's circumstances and needs change, different members of the operational team take on greater (and lesser) roles of importance.

However, unlike the medical settings in which patient remains a patient, in the education context, the client can and should be able to play an active role in refocusing the work of the operational group. The client does not remain simply a receiver of services, but is also a giver. The client, then, becomes part of the operational group. In a localized setting, the operational group drawn from a network to work with a teacher in setting up a new program might consist of a peer, a profes-



Social network from perspective of subject (S). Leveton, L., Schouela, D., Steinberg, L.M., and Wapner, S. Pilot study on environmental transition: Entry and exposure to a college environment 1975-76. (Unpublished status report, Clark University, 1976.)

sional from industry, a student, a parent, a community social worker. As the teacher's needs change, new operational groups are formed around newly formulated problems. Indeed, the teacher may shift role from receiver to giver, as an operational group is developed around the problem of recruiting adolescents for the job market.

6) Settings for the network and its subgroups (the operational groups) that are never fixed. The setting chosen is the one which is most appropriate for the problem at hand. Thus, the setting for a problem in graduate science education might be an industrial laboratory; for teaching children art, a working artist's studio; for training college undergraduates to be kindergarten teachers, a community health center, or a hospital children's psychiatric ward. Neutral ground is the key phrase here – the network belongs to everyone and thus to no one.

7) Organizing the network requires the services of a coordinator – someone trained in organizational matching and administrative skills, who can see things from the standpoint of the generalist, identifying situations which need the help of professionals and recruiting these professionals for the task. Basically the role of the coordinator is to bring and keep together people of different talents, to help them grow and develop, to be sensitive to new problem areas that need to be addressed by the network, and to be the scorekeeper. Coordinators, then, need to be group leaders, trainers, bridge-builders, (within the network and between the network and outside institutions), and managers. There is room in a network for a variety of coordinators – full-time and part-time, professional and community-volunteer. To carry out functions as a generalist the coordinator must be able to understand the work of several of the specialists (on the model of the physician-internist). Such backgrounds as social psychology, group work, systems analysis, operations research, and policy administration seem especially useful.

Typologically, there would seem to be three types of networks:

a) Those with members of like interests (e.g., a Great Books Club).
b) Those with members of differing status who complement one another, but in a dominant-subordinate, or one-way relationship (e.g., a Medical School Training System).
c) Those whose members work on a full exchange basis – each fulfilling self-interests while helping others. These are *integrative* networks and these are the people networks of which we speak. . . .

Networking as a Characteristic of Programs Supported by the Federal Government

We would like to recommend that wherever possible, projects and programs supported by the Federal government be required to develop the networking process as *part* of their operation. Other than funds to support full or part-time coordinators, and communications through telephones and meetings, networks require no special expenditures. On the contrary, it has been our experience with networking that the volunteerism inherent in them permits far more to be accomplished, than can be accomplished by the added, paid personnel required to carry out most federally supported educational programs. In other words, we see networking as a way of *reducing* per capita costs – as a means of achieving *greater* cost effectiveness.

In applying networking to individual projects, there are a number of preconditions that have to be imposed:

1) The setting for each project must be on *"neutral" ground.* If the network is concerned with developing a magnet school, neither the school administration, nor a college which may be responsible for developing programs, nor industry which is helping with equipment, training knowhow and internships ought to serve as the nerve center of the network. A separate office, with an ability to keep doors open to all, is the appropriate base for housing the coordinator and for administering the network.

2) In order to articulate fully the reality that the environments within which educational networks operate are *total environments* (i.e., they involve all aspects of individual development – cognitive, social, psychological, health, physical – and therefore all community agencies that are concerned with these issues), requiring educational impact statements from each project could force its initiators to think through the consequences and to appreciate its ramifications as a system. Within a network context, the preparing of an impact statement could lead to formative planning – for not only would people be forced to think through the impact of an action systemically, they would also collaborate in shaping the project to respond

to the breadth of need and interest represented in the group. We see such statements as predictive devices, but more important, we see them as statements of the process by which mutually supported development can occur.

3) Networks are voluntary organizations. Networks can't be given from on high, they have to be developed. The struggle for identifying and using resources is participation at its best, the emergence of the voluntary system balancing off the greed of the individual and the tyranny of the organization.

4) A locally rooted project is best equipped to develop multi-party networks, networks which combine diads (professional/lay persons, helpers/"helpees," elderly/youngsters) in such a way that they become integrative and synergistic. Multi-party networks, matching strengths in relationship to needs, are networks in which producer-consumer relations are not fixed. Instead, as the network begins to bring out diversity of needs, the client/consumer may well shift roles in becoming the supplier. Thus, the teacher becomes aware of needs that can be supplied out of the community as a whole through the resource exchange bank — the social worker, the nurse, the local Little League coach. Moreover, using the operating group concept, the school counsellor gets to rely upon the school nurse, a teacher, a student, or a foreman in nearby industry.

5) Part of the strength of network members lies in the organizational base with which they are connected. Often individuals are invited to join the network because of their roles within agencies, institutions, committees, and clubs. It is important that the connection between the individual and his/her organizational base be clearly and openly expressed so that the resource exchange can be broadened through contact with the organizations.

There are many programs now organized to facilitate the coming together of people connected with different organizations for the purposes of information exchange and training . . . . Most of these programs need to find ways of translating individual exchanges into agency exchanges. . . .

6) A major objective of looking at networks as process is to encourage individual expression, self- and mutual help. If we can generalize, it is that networks operate on the assumption the world is not divided into two: the givers and the takers. Instead, all both give and take. This means that there are no rigid special classes. At one level, all persons have in common both their strengths and their weaknesses. At another level, all persons are unique and networking helps to bring out this uniqueness.

7) Finally, networking demands and indeed produces an open system. This has significant programmatic implications. A project with finite objectives that must be rigidly met, is a project which is by definition self-limiting, a project which cannot take advantage of the resources exchange, whose pathways cannot be precisely forecast in advance. Thus, in addition to project *education impact* statements, which would make their forecasts upon present needs assessments, federal educational policy should encourage its projects to strike out in the direction of the unexpected.

This recommendation has implications for evaluation. We currently evaluate the success of federally supported projects by the way in which they have succeeded in achieving initially stated objectives, thus leaving little room for individual and social growth in process. But an evaluation that does not test success by analyzing unexpected directions and pathways is not a complete evaluation.

Here, then, the reference is to directional change within a project. Just as we would require that a portion of all project support be set aside for building networking, so we would require that each project build in the consequences of networking. Call this the *Ten Per Cent Development Factor.* This is a factor that would be unallocated at the outset of a project. One-third to half-way through the life of the project, the development factor would have to be implemented as a new direction — hopefully as a higher level of activity that will propel the remainder of the project along.

Networking can be used to describe the obvious — exploitation of contacts; to characterize a system of physical flows; to articulate an abstract model of an open system; or to engineer a process of human interaction. It is this latter which we seek to promote as practical policy for government to implement.

THE USE OF ETHNOGRAPHIC TECHNIQUES IN EDUCATIONAL RESEARCH*

Summary of Key Ideas

This article provides clarification on the use of anthropological techniques in educational and psychological research. This kind of research is called qualitative, phenomenological or ethnographic. It is important to clarify its rationale and its data collection processes.

The Rationale

The rationale underlying this methodology is based on two sets of hypotheses about human behavior: (a) the naturalistic-ecological hypothesis, and (b) the qualitative-phenomenological hypothesis. These two, accepted together, provide a strong rationale for participant observation research.

The Naturalistic-Ecological Perspective

1. Study psychological events in natural settings
2. Settings generate regularities that transcend differences among individuals
3. Forces generated both by the physical arrangements of the settings and by internalized notions in people's minds about what is expected and allowed has significant influence on behavior
4. The context for research exerts a great influence on behavior of participants. The interview, the questionnaire, the laboratory influence behavior
5. Under the conditions of naturalistic observation, the behavior studied is subject to the influence of the natural setting rather than the specialized influences of research settings.

Qualitative-Phenomenological Hypothesis

1. Human behavior cannot be understood without understanding the framework within which the subjects interpret their thoughts, feelings and actions.
2. This approach abandons traditional deductive processes such as a priori hypothesis formation.

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*Wilson, Stephen. "The Use of Ethnographic Techniques in Educational Research," Review of Educational Research. Winter 1977, Vol. 47, No. 1, pp. 245-265.

3. The customary deductive activities of framing hypotheses and defining categories a priori before undertaking the study, and of analyzing prespecified frameworks, are seen as inappropriate.

4. An effort is made to standardize the interpretations that observers (any observer) attributes to data perceived by their senses.

5. A coding scheme and a framework for interpreting observed behavior can be developed and communicated so that anyone who has learned the scheme, with training and practice, will interpret the behaviors in approximately the same way.

6. The researcher must develop a dynamic tension between the subjective role of participant and the role of observer so that s/he is neither one entirely. The researcher uses the tension between participant data and observer analysis to constantly refine his/her theory. Formal theory should enter only after the researcher has become convinced of its relevance.

7. The anthropological tradition calls for the skill of suspending perceptions. The researcher studies prior research and theory as much as the traditional researcher, but s/he then purposely suspends this knowledge until his/her experience with the research setting suggests its relevance.

8. The participant observer systematically works to be aware of the meanings of events. There are critical aspects of human behavior to understand. The qualitative researcher learns some of these perspectives by hearing participants express them in the flow of events. The researcher must ask the participants questions and become acquainted with actor-relevant categories that are rarely expressed. These are called perspectives or meanings, of which participants are not conscious.

Research Process

The underlying principle guiding ethnographic research is the assumption that individuals have meaning structures that determine much of their behavior. The research seeks to discover what these meaning structures are, how they develop and how they influence behavior, in as comprehensive and objective a fashion as possible.

The ethnographic process can be presented as a series of issues:

a) entry and establishment of researcher role
b) data collection procedures
c) objectivity
d) analysis of data

Entry and Establishment of Role

1. Assumption: What people say and do is consciously and unconsciously shaped by the social situation.

2. The ethnographer must be sensitive to the way s/he enters a setting and must be careful in establishing a role that facilitates the collection of data.

3. The researcher must decide how involved s/he will become. S/He must monitor how his/her entry is initiated officially and unofficially. S/He must be concerned about the way his/her activities influence the people in the way they react to and see him/her.

4. The researcher tries not to be identified with any particular group in the setting.

5. S/He monitors the views participants have of him/her throughout the study. S/He would note carefully the difference between what people say and do with each other in his/her presence and what they say and do when alone with him/her.

6. Participants must come to trust and value the observer enough to be willing to share intimate thoughts with him/her and answer his/her endless questions.

Data Collection

A key to understanding ethnographic research is a realization of what constitutes data and what the customary methods of obtaining it are. Basic to anthropological inquiry is the discovery of meaning structures of participants in whatever forms they are expressed. This research is multimodal. All of the following are relevant data:

1. Form and content of verbal interaction between participants

2. Form and content of verbal interaction with the researcher

3. Nonverbal behavior.

4. Patterns of actions and nonactions

5. Traces, archival records, artifacts, documents

The researcher must constantly make decisions about where to be, what kind of data to collect and to whom to talk.

a. Must learn the formal and informal psychic schedules and geographies of the participants

b. Must become aware of all the behavior settings in the community

c. Must keep his/her ear tuned as to where and when significant events are likely to occur

d. Must develop sampling procedures that reflect the research goals

e. Must make calculated decisions about what kind of data to collect and whether or not s/he should engage in active field interviewing

f. Must decide whom to talk to, based on his/her awareness of various persons' roles and the personal matrix through which persons filter information

The ethnographic researcher links together the information s/he gathers by various methods in a way that is nearly impossible with other approaches. For instance, s/he compares the following:

a) What a subject says in response to a question; b) what s/he says to other people; c) what s/he says in various situations; d) what s/he says at various times; e) what s/he actually does; f) various nonverbal signals about the matter; and g) what those who are significant to the person feel, say and do about the matter.

The participant observer cultivates an empathetic understanding with the participants and shares the daily life of participants, systematically working at understanding their feelings and reactions.

Objectivity

The well-executed ethnographic research uses a technique of DISCIPLINED subjectivity that is as thorough and intrinsically objective as are other kinds of research.

1) Human actions have more meaning than just the concrete facts of who, what, where and when that an outsider can observe.

2) The researcher uses the described techniques to be in touch with a wide range of participant experience.

3) S/He makes sure his/her sampling is representative.

4) S/He interprets the data in terms of the situations where they were gathered.

5) The researcher must learn to systematically empathize with the participants in order to understand hidden or unexpressed meanings.

6) S/He must synthesize the various experiences of participants to comprehend subleties of their actions, thoughts and feelings.

7) The techniques of empathy and nonstandardized observation are not used in an impressionistic manner.

8) The researcher never abandons him/herself to the participants' perspectives.

9) The researcher must constantly monitor and test his/her reactions.

10) S/He attempts to view actions from the perspective of the outsider.

11. S/He avoids getting caught in any one outlook by systematically seeking to understand actions from the different perspectives of various groups of participants.

12. S/He maintains the tension between insider and outsider and between groups of insiders.

Analysis of Data

Some ethnographic research is very similar to traditional research in its deductive use and development of theory. Other kinds of ethnographic research, however, are much more inductive.

1. The anthroplogist seeks to understand the meanings of the participants, avoids having his/her interpretations prematurely overstructured by theory or previous research.

2. S/He is more ready than other kinds of researchers to accept the possible uniqueness of the various settings, groups, organizations, etc.

3. S/He must be thoroughly acquainted with related research and theory so as to use it whenever helpful to explain events.

4. Participant observation includes a constant necessity for testing theory against real data.

5. Another way participant observers refine and test their theories is through the search for negative evidence. Because s/he knows the setting, s/he realizes that the situation is likely to provide discordant information. S/He enters to confront this possibly negative evidence, probes to find why the theory cannot account for what is observed, and gradually develops his/her theory.

It makes sense to think of participant observation as a series of studies that follow each other daily and build on each other in a cybernetic fashion.

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LETTERS TO PARTICIPANTS

Northwest Regional Educational Laboratory
710 S.W. Second Avenue • Portland, Oregon 97204 • Telephone (503) 248-6800

September 5, 1980

MEMORANDUM

TO: Dissemination Process Seminar Participants

FROM: Joe Pascarelli

RE: San Francisco Hotel Information

We're delighted that you'll be able to join us at our Seminar on Collaboration.

To assist you with your decision making regarding hotels in San Francisco, we have gathered the following information:

1. A list of hotels/motels--with prices--which are convenient to the Ft. Mason Conference Center.

2. A reserved block of rooms at the Quality Inn, 2775 Van Ness Avenue. The rate for these rooms is $40.00 single, $48.00 double. This block will be held until September 29. DSS is going to use the Quality Inn as an informal conference headquarters. The Toll Free Reservation phone number is 800-228-5151. This motel is 3 blocks from Ft. Mason Center.

3. A map of San Francisco which will enable you to make accommodation choices in other areas of the city.

If you've already registered as a Seminar participant, you'll be receiving, within the next ten days, a Pre-Seminar Workpacket which will include a detailed agenda, some recommended readings, and an interviewing form to use as you gather information on a collaborative in your own area.

If you haven't yet registered and are planning to, we urge you to do so as soon as possible. Upon registration, then, you'll receive the Pre-Seminar Workpacket.

We are excited about working with you at the Ft. Mason Conference Center!

Northwest Regional Educational Laboratory

710 S.W. Second Avenue • Portland, Oregon 97204 • Telephone (503) 248-6800

October 10, 1980

Dear Seminar Participant:

We certainly are looking forward to working with you at the Seminar. The interest around collaboration and collaboratives appears to be increasing day by day! We're certain that the topic, the agenda, the design and, especially, the participants and presenters attending will result in a highly stimulating, informative and challenging 2½ days. Furthermore, San Francisco is not the worst place to play after work.

Here are some answers based on some questions you haven't asked but we, in our final planning stage, have a need to provide:

1. Registration. We will conduct registration for two hours on Monday evening between the hours of 7:00 to 9:00 at the Fort Mason Center lobby. Linda Grupp and I will be there to greet those of you who wish to register at that time.

   Registration will also occur on Tuesday morning between 7:30 a.m. and 9:00 a.m. We are scheduled to begin the Seminar formally at 9:00 am.

2. Lunch. We've scheduled longer than the usual lunch periods on Tuesday and Wednesday. The Center is located at a five-minute walk from Ghirardelli Square where there are many eating places.

3. Dinner. We'll have a list of some interesting restaurants in the area for those of you who want to explore.

4. We invite you to dress informally. The Fort Mason Center is an environment conducive to productive work in a relaxed setting.

5. The Fort Mason Center offers activities in the arts, humanities, recreation, education and ecology. Activities occur continuously--day and night. Calendars of scheduled events will be available to you.

6. We're renting a small suite at the Quality Inn on Van Ness. This is available as a comfort stop to those of you who are commuting.

We've had some last-minute changes in the list of Consultants and Collaborators. We're very pleased to present this final list to you:

William Paisley
Professor
Stanford University
Palo Alto

Caroline Gillin
Commissioner of Education
Region IX - San Francisco

Nellie Harrison
Coordinator
Urban Education Program
CEMREL, Inc.

Diane Lassman
Director
EXCHANGE
University of Minnesota
Teacher Center

Patrick Martin
Director
Dissemination Management Project
Council of Chief State School Officers

Ernest McDonald
Consultant
Environmental Education
U. S. Forest Service

Sue McKibbin
Associate Program Manager
Educational Dissemination Studies Program
Far West Laboratory

Marlys Olson, Director
Child Abuse Prevention and Treatment Program
Tacoma, Washington

Anthony Vega, Director
Bilingual Education Service Center
Los Angeles

Sheila Walker, Anthropologist
University of California
Berkeley

Finally, we urge you to bring along to the Seminar the information in the Preseminar Work Packet, along with the information you've gathered on the collaborative. We realize that the interviewing probably was time consuming, but we also assure you that it will add to the quality of the Seminar.

We will see you at San Francisco!

Sincerely,

Joseph Tafoya

Assistant Director
Dissemination Field Services

cc: Tom Olson, NWREL
Ethel Simon-McWilliams, NWREL

REGISTRATION HANDOUTS

WELCOME to our Seminar on Collaboration. We hope that you share with us the interest, intention and eagerness to pursue the study of Collaboration. This Seminar is designed to equip you with information about the phenomenon of collaboration, to enable you to derive implications as a result of this information and to provide you with the opportunity to make a personal contribution to the ongoing developmental process of Collaboration.

The Seminar will formally begin at 9:00 o'clock Tuesday morning. We look forward to greeting you there!

Joe Pascarelli

Joe Pascarelli

Dissemination Support Service

DISSEMINATION PROCESSES SEMINAR VI
OCTOBER 21-23, 1980 -- SAN FRANCISCO

COLLABORATION: A PROMISING STRATEGY FOR IMPROVING EDUCATIONAL PRACTICE

PROGRAM

MONDAY - OCTOBER 20 7:00 TO 9:00 PM	REGISTRATION AT THE FORT MASON CENTER LOBBY
TUESDAY - OCTOBER 21. 9:00 AM	WELCOME AND INTRODUCTIONS JOE PASCARELLI, DISSEMINATION SUPPORT SERVICE CAROLINE GILLIN, COMMISSIONER OF EDUCATION - REGION IX ROBERT RATH, EXECUTIVE DIRECTOR, NWREL
9:45 AM	BREAK
10:00 AM	WORK SESSION I ACTION RESEARCH GROUPS: SHARING DATA COLLECTED AND EXPERIENCES, CLARIFYING THE ISSUES AND THE PROBLEMS; IDENTIFYING COMMONALITIES, DIFFERENCES, UNIQUENESS OF COLLABORATIVES
12:00 NOON	LUNCH
2:00 PM	PRESENTATION: COLLABORATION AND DISSEMINATION WILLIAM PAISLEY
2:30 PM	BREAK

TUESDAY - OCTOBER 21 (CONTINUED)

2:45 PM — WORK SESSION II

ACTION RESEARCH GROUPS: CONNECTING KNOWLEDGE PRESENTED WITH ISSUES IDENTIFIED; RAISING THE QUESTIONS

3:45 PM — QUESTIONS AND ANSWERS

WILLIAM PAISLEY

5:00 PM — ADJOURN

WEDNESDAY - OCTOBER 22

9:00 AM — PRESENTATION: COLLABORATION AND LOOSELY COUPLED SYSTEMS

SUE McKIBBIN

JOE PASCARELLI

9:45 AM — BREAK

10:00 AM — WORK SESSION III

ACTION RESEARCH GROUPS: RESPONDING TO PRESENTATION AND CONNECTING THE ISSUES OF COLLABORATION

11:15 AM — QUESTIONS AND ANSWERS

SUE McKIBBIN

JOE PASCARELLI

12:00 NOON — LUNCH

1:30 PM — PRESENTATION: LIVING SYSTEMS--STUDYING COLLABORATION

SHEILA WALKER

WEDNESDAY - OCTOBER 22 (CONTINUED)

2:00 PM — WORK SESSION IV

ACTION RESEARCH GROUPS: EXPLORING THE IMPLICATIONS OF APPLYING ETHNOGRAPHIC APPROACHES TO COLLABORATION

3:00 PM — BREAK

3:15 PM — QUESTIONS AND ANSWERS

SHEILA WALKER

4:00 PM — PANEL: SEMINAR FACILITATORS.

TIPS FROM ACTIVE COLLABORATORS

NELLIE HARRISON
DIANE LASSMAN
PATRICK MARTIN
ERNEST McDONALD
MARLYS OLSON
DENNEN REILLEY
ANTHONY VEGA

5:00 PM — ADJOURN

THURSDAY - OCTOBER 23

9:00 AM — PANEL: SEMINAR FACILITATORS

TIPS FROM ACTIVE COLLABORATORS (CONTINUED)

9:15 AM — BREAK

9:30 AM — WORK SESSION V

ACTION RESEARCH GROUPS: MAKING CONNECTIONS AND APPLICATIONS

11:30 AM — ETHNOGRAPHIC REPORT

SHEILA WALKER

12:00 NOON — ADJOURN

DISSEMINATION PROCESSES SEMINAR VI

Fort Mason Center, San Francisco

October 21-23, 1980

Purposes of the Seminar:

- To enable participants to enhance their understanding of issues related to planning collaborative activities.
- To provide the opportunity for participants to make applications of the knowledge gained at the Seminar for:
  - -- enhancing their involvement with existing activities
  - -- initiating contact and involvement with existing collaborative efforts
  - -- developing new efforts for collaboration
- To enable participants to gain awareness of ethnographic techniques for understanding the phenomenon of collaboratives

Basic Features of the Seminar Design:

The design of the Seminar calls for an interplay between several action research groups and the presenters.

The group will meet initially to share findings, identify commonalities and differences and begin the process of defining conditions and circumstances which are most likely to produce successful collaboration.

During the group meetings, the presenters will visit groups and listen to the discussions for the purpose of collecting data which will inform their presentations.

In the general meetings, everyone will listen to each presenter, paying particular attention to the way in which the presenter's comments relate to the discussions in the action research groups.

A special feature of the Seminar is the introduction of ethnographic approaches for understanding the phenomenon of collaboration. A report of an ethnographer's findings about the "culture" of the Seminar will be the final presentation just before the Seminar adjourns.

The work in the action research groups will be facilitated by persons who are themselves successful collaborators.

Many thanks to Resource and Referral Service, System Support Service and Far West Laboratory's Educational Dissemination Studies Program for their demonstrated support!

GUIDELINES AND INSTRUCTIONS FOR GROUP FACILITATORS

GUIDELINE QUESTIONS FOR FACILITATORS

After each presentation, the Action Research groups will meet for one to two hours of discussion. The purpose of these discussions is to enable participants:

- To connect the content of presentations with the data shared during Work Session I
- To identify a few crucial questions to ask the presenter following group meetings
- To identify specific action implications and meanings for back home use

We think you can influence the direction and the quality of the discussion by using three types of questions: 1) generic questions, 2) probing questions and 3) questions that connect directly with the presentation.

Example of Generic Questions:

1. What is meant by collaboration?
2. What kind of collaboration efforts exist?
3. What are the requirements for successful collaboration to occur?
4. What barriers inhibit collaboration?
5. What incentives foster collaboration?

Examples of Probing Questions:

1. What demands do collaboratives place on participating individuals and organizations?
2. What are ways to decrease the threat of collaboration on participating organizations?
3. What are helpful criteria for selecting participants in a collaborative?

4. Are there basic guidelines and ground rules for anticipating and dealing with issues of power/authority, competition, conflict?

5. Are there specific skills needed for the kinds of problem solving, decision making and negotiation required for successful collaboration?

Questions to Elicit A Response:

To the previous presentation and to generate questions to be addressed to the presenter.

The facilitator will use his or her own approach for eliciting response and discussion of presentations:

Topic #1 -- Collaboration and Dissemination

Questions:

Topic #2 -- Collaboration and Loosely Coupled Systems

Questions:

Topic #3 -- Living Systems--Studying Collaboration

Questions:

Before each Action Research group meeting is over, be sure to check with the group about two or three key questions they would like to raise with the previous presenter(s). We are requesting that you represent your group in raising the questions during the Question and Answer session.

FACILITATORS' GUIDE SHEET AND INSTRUCTIONS

WORK SESSION I: Action Research Groups

The purpose of this first work session is to establish a focus on collaboration by sharing findings, identifying commonalities and differences, sharpening the issues and beginning to define conditions required for successful collaboration.

We request that you capture the information shared by participants by using several newsprint sheets. The following captions should provide a way for capturing in summary form or a synthesis of what people are reporting:

Commonalities	Differences	Uniqueness	Critical Issues

As a result of the preseminar assignment each participant should be ready to share something.

1. There will be those who used the questionnaire and are ready to report the result of their survey.
2. There will be those who will use the questionnaire as an informal guide to report what they know about collaboratives
3. Others will report their own personal experiences with collaboration.
4. Still others will contribute their own ideas.

We think that the first work session should be very significant in the following ways:

1. Helping people get acquainted with each other and with the facilitator

2. Setting a climate for constructive discussions

3. Building anticipation for the ideas and interactions in the Seminar

4. Laying the information groundwork for listening to presenters and exploring the issues

In addition, we think the first work session will enable the facilitator to get hold of basic information that can be used as follows:

- To share notes and newsprint data with Dissemination Support Service staff
- To use as a checklist for probing questions and stimulus in subsequent discussions
- To provide feedback to the group in future sessions
- To derive ideas and tips for the panel of facilitators on Wednesday and Thursday

DIRECTIONS FOR CONDUCTING WORK SESSION V

This is the last work session of the Action Research Groups. In this session we would like to provide the participants with the opportunity to integrate their learnings and findings. Attached you will find a copy of the Integrative Model Work Sheet we would like you to use with the participants.

We are suggesting the following procedure:

1. Ask participants to make connections and prepare for a discussion by individually filling in the blank circles and squares on the work sheet. You may want to allow 10 to 15 minutes to do that individual work.

2. Prepare newsprint in advance with a copy of the Integrative Model. Ask participants to share information from their work sheets. Record on newsprint key phrases and facilitate a discussion of the integrated ideas.

DIRECTIONS FOR INTEGRATIVE MODEL WORK SHEET

MAKE CONNECTIONS AND PREPARE FOR A DISCUSSION

Review the list of ideas, theories and concepts presented during the Seminar

Select those which you can and expect to connect to what you do

Identify the ways in which you will make the connections

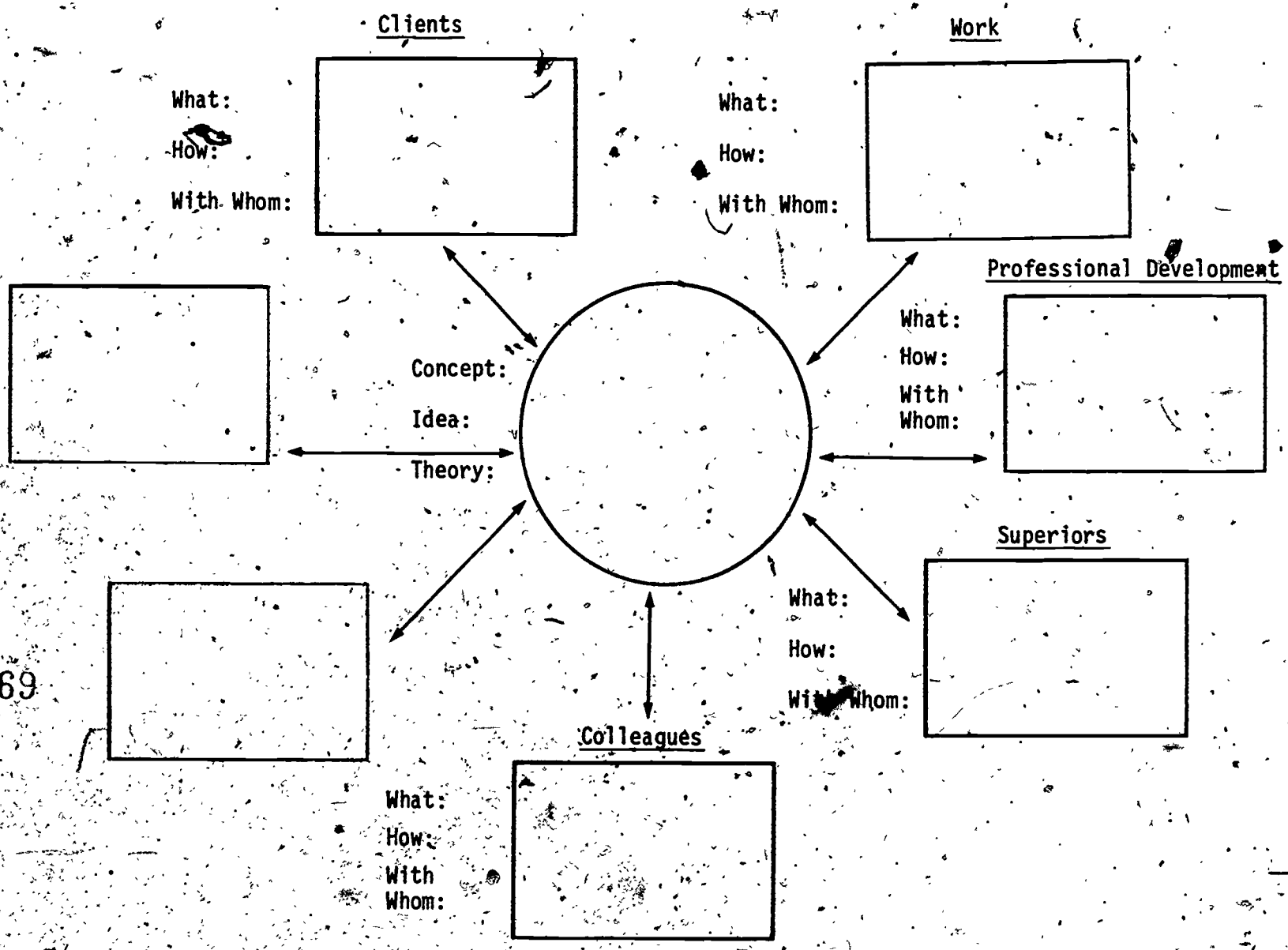
Record each item from the list you have selected on the work sheet attached

Select one of your "connections" for the discussion -

Discuss the way in which you plan to connect one learning from this workshop to what you do. Please elaborate on the role you will take and the tasks you propose.

INTEGRATIVE MODEL WORK SHEET

MODEL FOR MAKING CONNECTIONS



PRESENTERS' MAIN POINTS

Dr. William Paisley
Department of Communication
Stanford University
Palo Alto, California

Sue McKibbin
Far West Laboratory
1855 Folsom Street
San Francisco, California

Dr. Sheila Walker
ASRAH
School of Education
University of California
Berkeley, California

COLLABORATION AND DISSEMINATION -- William Paisley

Dr. Paisley presented stimulating and innovative ways to study collaboration and raised some issues concerning the relationship between the process of collaboration and the world of dissemination. These provocative insights were based on:

- Some personal experiences with education and social service agencies
- Consideration of functional dependency
- Definition of the process
- Understandings of collaboration from two perspectives: structural analysis and functional analysis
- The flow of instrumental and symbolic messages in collaborative systems
- Ways in which collaboration can support the diffusion of innovations

Some key ideas:

- There are good and bad examples of collaboration.
- One of the most interesting examples is the shared-faith kind of collaboration that frequently occurs among social service agencies.
- A new term like *collaboration* (new to the field) generates rich images of potentiality.
- The challenge is to define collaboration in such a way that people get excited about the possibilities but are not oversold to the extent that it becomes another fad.
- Stakeholders in educational collaboratives need to analyze the nature of their functions. To what extent are actors in collaboratives engaged in functional dependency?
- Functional analysis of collaboration has to do with what flows between the agencies; structural analysis explains how the entities relate to each other.
- Two kinds of problems exist in organizations: recurring ones and episodic (unanticipated) ones. Organizations solve these problems in two ways--using convergent solutions (maintaining equilibrium) and divergent ones (creating novel or different responses). Recurring patterns provoke analyzing and pacing behaviors; episodic patterns provoke troubleshooting responses. Can this four-part table be useful in anticipating or understanding behavior in collaboratives?

- Two kinds of messages are present in the communication flow of collaboratives. Instrumental messages are more cognitive in nature (e.g., resources, goals); symbolic messages are more affective in nature (e.g., feelings, concerns, feedback, reinforcement). Both should be further studied.

- Collaboration can help the diffusion of innovations by:
  - -- Enabling "multichannel" synergy to occur
  - -- Making multiparts of organizations accessible to each other
  - -- Helping agencies engage in reinvention (as contrasted with adoption) so that endorsement rather than dependency occurs
  - -- Providing skill learning
  - -- Collaborating (Social learning is enhanced through role models, rehearsal and feedback.)

  The traditional modes have acknowledged an awareness/comprehension/trial-and-evaluation flow; whereas this newer perspective attends to skill feedback and mastery.

- The traditional method of establishing a collaborative has been to identify a function someone needed and "to sell it." A newer approach (especially with respect to mandated collaboration) is to sign, for example, a consortium agreement and then generate traffic.

COLLABORATION AND LOOSELY COUPLED SYSTEMS -- Sue McKibbin

Sue McKibbin synthesized some of Karl Weick's ideas (Social Psychology of Organizing, Addison-Wesley, 1979) emphasizing his three-stage process as applied to the development of collaboratives. The flow acknowledges the evolutionary process as fluid, dynamic and in constant change. The essence of the presentation encouraged participants to retain this kind of attitude as they assume roles in developing collaboratives.

The variation stage of the schema is concerned with recognition of a "something new one wants to try." The selection stage has to do more with organizing or "tinkering" with the parts, sharing ideas, creating trust and stimulation among the actors. Finally, the retention stage acknowledges institutionalization. McKibbin cautioned:

1. Don't become too rigid, too structured with the collaborative too soon.

2. Be willing to tinker with the parts (in contrast to engineer, with a deliberate goal, certainty of direction, clarity of outcome).

3. Retrospective sense-making enables one to articulate a goal after-the-fact. (This does not deny planning but allows the actors to participate in the ambiguity, constantly considering new ways of functioning.)

4. When we think of collaboratives, let's think more like tinkerers than like engineers. We should permit ourselves to play around creatively with ideas.

This new attitude can be threatening, risky, time-consuming, expensive, potentially disastrous, upsetting, uncomfortable. It can also be creative, energizing, growing, serving, healing and becoming. Tinkering in large organizations is not easy; it takes commitment.

Loose-coupling, as an approach to collaboration, enables one to view the organization as comprised of independent subunits that have options of functioning independently, of decoupling from the organization. This is in contrast to a tightly-coupled organization whose subunits are interdependent. In the latter, there are tight interconnections among the subunits, along with strong boundaries, surrounding the organization to buffer it from the environment. If a threat or potential change enters the organization and any one of the subunits changes, the whole system has to adapt or change due to the interconnectedness. On the other hand, a loosely-coupled system can "permit" a subunit to engage in creatively experimenting with outside forces without imposing forced changes on the total organization. Loosely-coupled subunits can work separately, in small groupings, or as one total organization. The loosely-coupled system (or collaborative, in this case) has the advantage of exercising flexibility, choice and responsiveness in a changing world.

AN ETHNOGRAPHIC PERSPECTIVE TO COLLABORATION -- Sheila Walker

This presentation identified the advantages and the appropriateness of using an ethnographic or anthropological perspective to understand the behaviors of people involved in collaboratives. Though difficult, participants were urged to view themselves and their behaviors objectively--to step out of the immediate interactions and consider the ways in which an outsider or non-native might view them, their language, their interactions, etc..

First, language was considered. What meanings do terms like "living systems" connote in their basic etymological form? Are the collaboratives engaged in dynamic interactions? If so, what synergies exist? What happens when a collaborative becomes institutionalized? Does this stable state then modify the life stage? What meanings do words like "organization" or "live organism" connote? When does an organization stop "developing" and begin atrophying?

Cultural relativity (our tendency to assume that one's way is the only correct and acceptable way of functioning) was a second area discussed. When engaged in collaboration, it is necessary to share the unique world views of each organization. Not only should commonalities be examined, but so must the differences in order to ensure understandings. Reality is arbitrary and negotiable; it is dangerous to enter into a collaboration without agreeing on shared realities, as well as acknowledging differences.

Participants were encouraged to view collaboratives as minicultures with their unique social structure, myths and perhaps cultural areas. This kind of wholistic view is more concerned with behavioral patterns, incidents and meanings.

Parallels were drawn between ethnography and the participants' studies of collaboratives. A "polyocular vision" or "triangulation" approach was

recommended. That is, to understand collaboratives requires looking at them from many vantage points or angles. Interviewing actors, observing behaviors, studying the data and identifying the organization's mythology are but a few techniques.

Finally, those engaged in collaboratives must identify each other's "categories" (ways of understanding and labeling parts of their world).

It can be assumed that various actors (indeed, entire organizations) define thrusts like "school improvement" quite differently from each other. To some it might mean more job opportunities; to others, increased equity; and still to others, improved reading scores. Therefore, if collaborators do not deal with each other's meanings, collaboration is virtually impossible to achieve.

TIPS FROM ACTIVE COLLABORATORS

Tips shared by Seminar Facilitators
during panel presentations

Wednesday, October 22, 1980
Thursday, October 23, 1980

Facilitators:

Nellie Harrison
Patrick Martin
Marlys Olson
Dennen Reilley
Diane Lassman
Anthony Vega
Ernest McDonald

Nellie Harrison
Coordinator
Urban Education Program
CEMREL, Inc.
St. Louis, Missouri

1. Define "collaboration" to potential members.
2. Belief that it is worthwhile--not opportunistic.
3. Have accurate data base.
4. Encourage information exchange. Be honest about constraints.
5. Clarify expectations.
6. Be a functional leader.
7. Be responsive to the need for closure.
8. Be clear/realistic about who does what by when.
9. Ensure equal access; recognize that availability may be unequal.

Collaborative: Urban Education Network

Patrick Martin
Director
Dissemination Management Project
Council of Chief State School Officers
Washington, D. C.

1. Members need to know what the manager can do.
2. Members need to depend on accomplishments.
3. Tap individual motivation, incentives and style.
4. Maintain members' feelings of control.
5. Encourage multilevel communication system.

Collaborative: Texas Dissemination Coordination

Marlys Olson
Director
Child Abuse Prevention and Treatment Program
Tacoma, Washington

1. Examine own values (Why are you initiating?).

2. Know every resource and use it to the fullest.

3. Solicit suggestions from all participants and involve them in joint planning.

4. Provide time to reflect on quality of effort.

Collaborative: Child Abuse Prevention Projects

Dennen Reilley
Director of Field Services
School and Society Programs
Educational Development, Inc.
Newton, Maine

1. Share goals, values and hopes.

2. Encourage participation and ownership.

3. Provide opportunity for shared responsibility.

4. Create a climate conducive to growth and development.

5. Work toward group maintenance and individual participation.

6. Maintain channels of communication.

7. Involve all relevant people and organizations.

8. Make provisions for flexibility (people come and go).

9. Maintain a realistic perspective (contributions will be different).

10. Build for the future.

Collaborative: Tri-State Parenting

Diane [redacted]ssman
Direc[redacted]
The E[redacted]NGE
University of Minnesota Teacher Center
Minneapolis, Minnesota

1. Avoid getting involved unless individual goals match those of the organization.

2. Recognize risks of failure.

3. Provide supportive environment for staff involved.

4. Recognize that much time and energy is required.

Collaborative: The EXCHANGE

Anthony Vega
Director
Bilingual Education Service Center
California State University at Fullerton
Fullerton, California

1. Deal with the issue of turf. Who owns what? Who can do what for whom? Define responsibilities, determine structure, set boundaries.

2. Deal with issue of communication and visibility (defined as PR) letting people know about the importance of bilingual education.

3. Deal with issue of application.

4. Be concerned with resource allocation.

Collaborative: Bilingual Education Projects

Ernest McDonald
Environmental Education Consultant
U. S. Forest Service
Portland, Oregon

1. Provide an outlet for personal growth and development.

2. Encourage individual commitment.

3. Use the resources of the highly motivated and creative people.

4. Capitalize on mixture of types and styles among members.

5. Produce strong role identification (leaders, analyzers, doers, followers).

6. Eliminate agency duplication.

7. Provide higher quality product.

8. Product oriented, concrete, immediately applicable skills and techniques.

9. Maintain loose organization.

10. No outside funding required.

11. Fluid interaction.

Collaborative: Interagency Workshop: Environmental Education in Resource Management

KEY IDEAS FROM ACTION RESEARCH GROUPS

KEY IDEAS FROM ACTION RESEARCH GROUPS

Report of Work Sessions

The information that follows was produced by seven action research groups during the work sessions of Seminar VI. Several weeks before the Seminar was conducted, each participant was asked to gather information from persons directing a collaborative or from persons participating in a collaborative. Dissemination Support Service provided a questionnaire to facilitate the collection of information. During the first work sessions of the Seminar, participants reported their findings in their respective groups. These reports about collaboratives were summarized and recorded under the following categories: Commonalities, Differences, Uniqueness and Critical Issues. This initial collection of information about collaboration and collaboratives served as a data base for the subsequent discussions in the work groups, and for interaction and exchange with presenters and facilitators. Some of the basic considerations were: What are the conditions necessary for collaboration? What are the themes and patterns in collaboration and collaboratives that need further exploration and study? What are the applications that can be made now to various work situations? The following reports from the action research groups represent two kinds of summary products: 1) the key findings about commonalities, differences and uniqueness of collaboratives, and 2) a synthesis of the key ideas and conclusions reached by each group with respect to key issues, key questions for further study, guidelines for successful collaboration, guidelines for self-analysis, etc..

GROUP A: KEY FINDINGS

COMMONALITIES	DIFFERENCES	UNIQUENESS	CRITICAL ISSUES
Commitment to: - Building a collaborative - Combining - Complementing. Entitlement, authority support Symbiotic relationships among members Clear rewards for collaborations Depoliticizing; able to deal with the politics of the management Person dependent Recognition of "serendipity" as a resource/factor in collaboration	Different sources of funding Some are funded, others are not Voluntary/mandated Various level of partnership--local, state, region, nation Formal/informal Duration--from two weeks to seven years	Willingness to cooperate with "adversaries," "competition" Willingness to discuss frankly issues of turf Recognition that each partner has something the other wants or needs The intent to work together is as primary as the work to be accomplished The meta-differences among agents or agencies do not impact significantly the collaboration Successful collaboration increases as competition diminishes Can gain or lose credibility by collaborating Collaborators are risk takers Groups (divergent or convergent) can collaborate for the primary purpose of generating ideas	

GROUP A: SUMMARY PRODUCT

Critical Questions

1. Is there a developmental pattern of stages for collaboratives similar to that proposed for networks (e.g., Parker)? Is there a life cycle?

2. Is there a collaborative moment as opposed to a continuing collaborative mode (living together vs. marriage)? What are the values of each?

3. Are there differences between collaboration and cooperation? If there are, what is the significance for the way the collaborative functions?

4. Is there a role for a "Third Party" to facilitate collaborative efforts? If so, what are the "ingredients" of that supportive relationship?

5. What leadership style and skills are important in a collaborative effort?

6. Are the four strategies (resource sharing, problem solving, program development and service delivery) interrelated and/or sequential in the life cycle of a collaborative?

7. What kind of orientation and/or training is required to enable participants in a collaborative to succeed in their efforts?

GROUP B: KEY FINDINGS

COMMONALITIES	DIFFERENCES	UNIQUENESS	CRITICAL ISSUES
Common clients	Duration	Agencies involved, e.g., NDN, Teacher Corps	Time requirements
Common goals	Levels of involvement of actors	Personalities	Timing
External guidelines	Function	Leadership	Voluntary
Independent funding and resources	Responsibility	Sustaining membership	Mandated
Negotiation of goals, relationships, contributions	Expectations	A state department and school district joined together to work across a state	Interpersonal skills
Acceptance of leadership and authority	Definition		Turf/ego
Negotiation for services with clients	Funding		Loss of autonomy
	Power		Distance
			Personalities
			Leadership
			Intent
			Life cycle
			Political climate

GROUP C: KEY FINDINGS

COMMONALITIES	DIFFERENCES	UNIQUENESS	CRITICAL ISSUES
Matching needs	Reluctant participation	Dollars can influence	Shared goals and priorities
Timing	Forced participation	Formulation and long-term survival	Turf issues
Impetus for collaboration	Governance	Involvement of those to be affected prior to institutionalization	Motivation: - Voluntary - Mandated
Informal/formal	Sources and levels of support and funding		Evaluation overtime
What's in it for me?			Skills of participants
			Level/authority of decision makers

GROUP C: SUMMARY PRODUCT

Questions for Further Research Into the Phenomena of Collaboratives

1. Can a "collaborative" be considered a subculture? (What are the identifying characteristics or attributes of subcultures?) If so, can the identification/analysis of the degree to which these attributes exist in a particular situation be used to strengthen (troubleshoot?) a collaborative effort?

2. What factors affect the life cycle of a collaborative?

3. What are some of the more/less effective communication modes in loosely-coupled vs. tightly-coupled organizational structures?

4. Can a collaborative system be successfully generated if all groups do not agree on "the need" central to the proposed function of a collaborative?

5. How does the nature of the collaborative change if it is mandated rather than voluntary? (Generated from the top down rather than from the bottom up.) What are the characteristics of collaboratives generated from top levels of cooperating organizations rather than from "the field" or other levels? How would these characteristics affect efforts to design and operationalize a collaborative to perform a particular function seen as needed from these different perspectives?

6. Can a cooperative/collaborative system created to serve a particular need also serve another need which may evolve or arise at a later point in time? If so, what kinds of modifications might occur? Is it possible to plan for (build in) flexibility for this purpose or are collaborative systems so need-specific that they are tied to a unique life cycle?

GROUP D: KEY FINDINGS

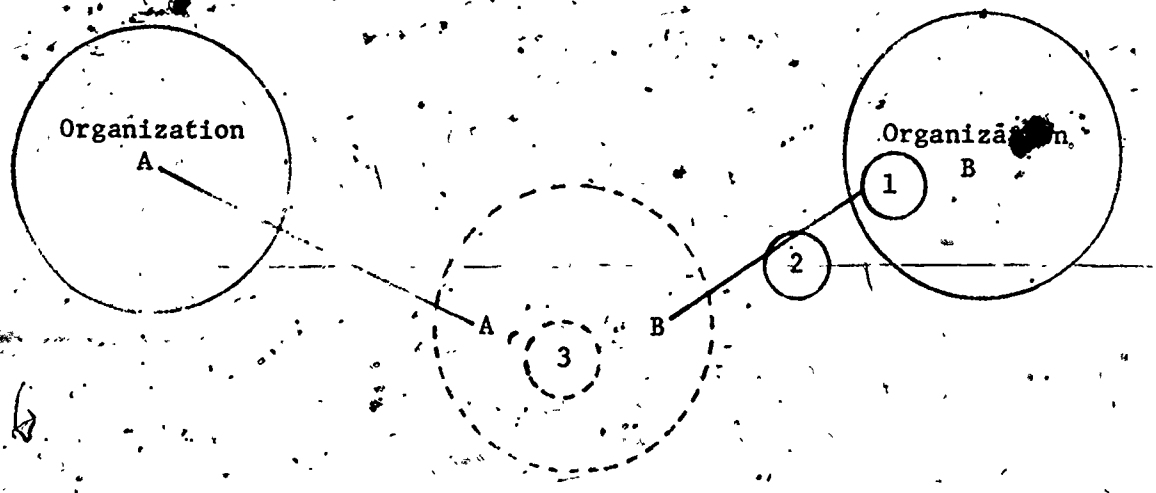
COMMONALITIES	DIFFERENCES	UNIQUENESS	CRITICAL ISSUES
A shared focus--not necessarily a specific static goal	Crisis planning vs. a group of people with the same interests	Mixture of actors	How to handle the risk involved
Shared resources and funding	Life cycles	Types of agencies involved	Understanding partner's needs and goals
Barriers: - Turf - Power - Middle man	Impetus		Keeping short-term priorities in balance
Implicit support of superiors	Interests		Appropriate mechanism for problem solving
Voluntary participation, not mandated	Traditional		Motivation
Begins with individuals	Nontraditional		Payoffs
Mutual problems	Interagency		
Need each other	Private sector		
	Educational community		

GROUP D: SUMMARY PRODUCT

Necessary Conditions for Collaboration

- Some mutual benefits
- Two or more persons from different organizational units
- Differentiated equalitarianism
- A problem solving mechanism

Organization and Context



1 = Organization freedoms and constraints for the individual

2 = Interorganizational freedoms and constraints

3 = Collaborative behavior/noncollaborative behavior

DESCRIPTIVE DIMENSIONS

Continuums

short	Time Duration	long
formal	Structure	informal
voluntary	Catalyst	mandatory
prescribed	Norms (codified behavior)	anarchy
operandi	Modus	vivandi

GROUP E: KEY FINDINGS

COMMONALITIES	DIFFERENCES	UNIQUENESS	CRITICAL ISSUES
Common goals	Communications structure	Interdependence--"the sum is greater than its parts"	
Effective communications	Formal and informal collaboratives	Equality of control among members	
Visibility	Roles and responsibilities	Flexible organizational structure	
Cooperation in spite of vested interests	Inter- and intraorganization	Presence of formal and informal channels of communication (vertical/lateral)	
Resource sharing	Style of leadership	Individual benefits	
Interdependence	Criteria for success		
Flexible energy source			

GROUP E: SUMMARY PRODUCT

Key Ingredients in Successful Collaboration

1. Interdependent achievement of given task
2. Emphasis on consensus rather than coercion
3. Maximum use of available resources and expertise, mutual respect, moral support
4. Sharing--lateral and hierarchical
5. Continuous redefinition
6. Need for time, staff expertise, absence of evaluative pressu
7. Functional--flexible--strong

GROUP F: KEY FINDINGS

COMMONALITIES	DIFFERENCES	UNIQUENESS	CRITICAL ISSUES
Technical assistance in master plan development statewide	New roles	Cutting across traditional lines of demarcation	Entitlement
Inservice training		Face-to-face communication	Turf
Exchange and dissemination		Indepth technical assitance to LEAs based on individual needs--state level	Involvement
LEA consortium: - Coordinating - Dissemination		Standardization of training programs	LEA willingness
Inservice and preservice		Interaction between agencies that traditionally have not interacted	Norms
			Incentives
			Dollar value of services
			Lack of communication
			Definition of role inter/intra
			Governance
			Leadership
			Visibility
			Application

GROUP F: SUMMARY PRODUCT

Considerations for Successful Collaboration

1. Clarification of rationale for participation of all members
   - Voluntary vs. involuntary participation
   - Perception of mutual benefit
2. Clarity of goals
   - Establishment of goals
   - Review process
   - Amenable to change
3. Willingness to plan and organize collaborative
   - Operating procedure
   - Incentives
   - Turf
   - Governance
4. Organizational approval

GROUP G: KEY FINDINGS

COMMONALITIES	DIFFERENCES	UNIQUENESS	CRITICAL ISSUES
Exchange of information Joining together for common purpose Benefits: - Product - Service - Process Some type of effort by each participant: - Time - Money - People's power	Level of collaboration Degree of formality Volunteer activities Mandating activities Philosophy Type of staffing roles Process Content Temporary task forces Permanent work groups Spinoffs	Intra-focus of NWREL Develop collaborative over time Short-term nature within a larger collaborative Role examination for accomplishment No external funding	Turfdom Establish right climate for collaborative Identify key elements Define responsibilities and priorities Different expectations How to build into funding requirements opportunities and flexibility for successful collaborations Establishing decision making rules stemming from heterogeneous peer groups Incentives

GROUP G: SUMMARY PRODUCT

Profiling Collaboratives

Self-analyzing questions:

1. To what extent are the actors functionally dependent?
2. To what extent are we working on recurring or episodic problems?
3. Are we preferring convergent or divergent solutions?
4. To what extent do we have an appropriate mix of work styles?
5. Are there incentive structures to keep us going?
6. To what extent do we have continuing mechanisms for exchange of information?
7. To what extent are we clear about our purpose and to what extent do we re-examine our purposes?
8. To what extent are roles of the various organizations differentiated?
9. To what extent can time be allowed to test alternative strategies?
10. To what extent do or can the participating agencies operate under a loosely-coupled system?
11. Under which systems or combination of systems (loosely/tightly) might the collaboration in question be most successful?
12. To what extent has collaboration, so far, been a corporate decision?
13. At what levels in each organization has decision and commitment to collaboration been made?
14. What kinds of organization linkages characterize the collaborative (e.g., federate vs. corporate)?
15. At what stage are we in our life cycle (variation/selection/retention)?
16. What style of leadership is currently exhibited (charismatic, engineering, management)?

RELEVANT DOCUMENTS
DISTRIBUTED DURING THE SEMINAR

ANTHROPOLOGICAL PERSPECTIVE ON INVESTIGATING THE CONSEQUENCES OF EXPERIENTIAL EDUCATION

Cultures within Cultures

Sheila S. Walker
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Thinking up alternative methods for evaluating educational phenomena in the Midwest of the United States sounds rather out of character for an anthropologist, whom one might more commonly expect to find examining the ceremonial practices of an exotic group of people living in a remote and faraway place of which few have heard. In addition to the fact that the anthropologist seems out of place in an American classroom, the style and methods of anthropological research are diametrically opposed to those of the traditional educational evaluator of the pretest-posttest variety. Sojourning for extended periods of time with unfamiliar people in unfamiliar environments, learning the language, seeking to understand different kinship terminologies and behaviors, untangling complicated social structures and systems of authority, observing the ways in which the ecology shapes the culture, and trying to perceive the logic and meanings of a totally new belief system and worldview are the stuff of anthropology. In fact, the extended fieldwork experience in some exotic place has traditionally been the rite of passage that has transformed a student of anthropology into a true anthropologist.

So, what are anthropologists doing looking at something as low on the exoticism scale as an American school system? Even in its more novel elements, such as the non-traditional (even sometimes anti-traditional) experiential education programs, American education hardly seems to compare with Tiwi puberty rites, for example. But then maybe it does through the eyes of an anthropologist.

Trained to learn to understand unfamiliar cultures by seeking to distinguish and analyze their constituent elements they can use their tools and theories to do the same thing in a more familiar culture, even their own. The basic premise of anthropology is cultural relativism, according to which all societies, from the most technologically simple hunters and gatherers, to the most technologically complicated post-industrial societies, involve the same basic functions and institutions. There is always a linguistic system able to express complicated concepts, a social structure that categorizes individuals into groups and prescribes and proscribes certain behaviors and attitudes vis-a-vis different social categories, a political system that regulates social behavior, a scientific and technological system by means of which humans figure out and adapt nature to their needs as they define them, a system of beliefs about the natural and supernatural worlds and their interrelationships, and a system of socialization/education that shapes children to become proper members of the society. As a result of studying other societies, anthropologists acquire a novel perspective that can enable them to analyze their own society as if they were discovering it for the first time. Thus they should be able to see the commonplace as well as the unusual event in a familiar setting as a result of learning to see both in an unfamiliar setting.

CULTURES WITHIN CULTURES

Horace Miner's very astute article entitled, "Body Ritual Among the Nacirema" (1956), is a prime example of the anthropologist's ability to describe a very familiar society in the same terms as he/she would any other exotic society, since exoticism or familiarity is basically a matter of perspective and style of description. Nacirema body rituals include paying daily homage to a sacred shrine, a private one of which is located in each family dwelling. At this shrine the males of the society scrape the hair off their faces with sharpened bits of metal; the females paint their faces several colors, and both sexes put bundles of pig hairs in their mouth in order to assure their sex appeal. Periodically the Nacirema visit the more sacred shrines of the holy mouth men who bore holes in their teeth with sharp pieces of metal and introduce unknown substances with magical powers into the holes. The Nacirema, who live between Mexico and Canada, have numerous other bizarre sounding customs.

In recent years many anthropologists have begun to study close to home phenomena with the same perspectives they use on foreign societies, even making comparisons between the two. In fact, in the early days of American anthropology, one reason for studying smaller, unfamiliar societies was to see how they dealt with certain social issues also facing Western societies to offer alternate possibilities for the latter. With respect to education in the United States anthropologists have taken two basic approaches, using them alone or in tandem. The first approach is to apply the kinds of theories and perspectives gained from learning about socialization/education in other societies to similar phenomena in the United States, using understandings from the former to better see and analyze the latter. The other approach has been to actually do observational field research in educational settings, treating the school as a small socio-cultural system containing the same kinds of institutions found in the larger community while at the same time being a very important institution of this larger society. This latter approach has proven very useful for understanding aspects of school behavior not accessible through standardized tests or statistical survey methods, but only through direct observation and interaction with the actors. While this research method is perfectly valid for the analysis of traditional educational institutions, it seems especially appropriate to use such a still non-traditional research style to analyze and evaluate the kinds of non-traditional educational institutions represented by the myriad experiential education programs spread across this country. Since these programs are, by definition, designed to accomplish different ends than the traditional educational system, and to pursue their goals through different techniques, one might reasonably expect the methods developed to evaluate the outcomes of traditional education to be maladapted to these alternative programs.

It is appropriate at this juncture to ask exactly what an anthropologist might do if requested to evaluate an experiential educational program. I will give you an idea of what I did when our polydisciplinary team visited two experiential education programs in the Columbus, Ohio area selected for us by the staff of the National Center for Research in Vocational Education. The purpose of the visit to the two well-selected sites, as well as a subsequent opportunity to meet with people from different types of experiential education programs from all over the country, was to give us a common basis for suggesting new methods for evaluating such innovative programs from our respective disciplinary perspectives. The staff of the National Center told us very little about the programs, wanting to allow us to discover them for ourselves. They indicated, however, that they and others involved with these alternative programs felt that they were producing positive results, but that the traditional paper and pencil pretests and posttests used in educational evaluation had proven unable to document these results. Consequently, new methods were in order that were better adapted to understanding the outcomes and dynamics of these programs.

Short of going to an exotic place, this opportunity could pass for an anthropologist's dream—the opportunity to go into an unknown subculture, quite unfamiliar in its specifics even though part of a common larger culture, with the assignment to just "see what's going on." Such an opportunity to just observe the "native culture" with neither any preliminary seeking of data about it nor efforts to examine a theoretical question that it just might exemplify is rare in this era of tightly structured and even more tightly scrutinized research proposals. Thus, I embarked upon this adventure as much as if it were a trip to a remote South Sea Island as was reasonable, given that it really was Ohio.

I must preface any illustrations of methodology drawn on the two sites visited, which I will call White Collar School and Blue Collar School, by saying that our visits to them were each made in half a day. Consequently any observations were of necessity incomplete and superficial, as well as not entirely comparable for the two programs. We naturally observed and were told more about some aspects of each program than of the other, the aspects focused upon in each perhaps reflecting their own emphases, or perhaps reflecting more a momentary concern on the part of program participants as a result of recent events, or maybe a special interest on the part of the researcher. The only way in which the researcher can get a sense of enduring, as opposed to temporary, concerns and emphases in the program is to spend more time observing regular patterns in the program and interacting with participants.

This fact points up a very important methodological issue with respect to using anthropological techniques for evaluating educational programs. The ideal length of time for doing field research in an exotic culture is eighteen months. The first six months are for gaining entree to the society, acquiring a familiarity with the language, getting a general idea of the social structure and generally settling in and learning the ropes. During the next twelve months the anthropologist can observe the entire yearly cycle of life—the day to day routine, the changes in activity due to seasonal changes, and the special annual ceremonial events.

It would be a bit exaggerated to expect an evaluator to spend a full yearly cycle observing an experiential program since much of the activity is very familiar to one who has gone through American schools, although were the intent to do a complete ethnographic analysis it might not be too long. However, in order to have a sense of what actually happens during the year to produce whatever outcomes are obtained, it would be ideal for him/her to spend perhaps the first and last two weeks of the year observing student behavior in both their in-school and on-the-job settings, and in talking with students, faculty and work supervisors, in order to get a sense of the changes the program has made in the students. In addition to focusing on outcomes, the researcher should spend at least two full weeks in the middle of the year observing the program and talking to the participants in order to get a sense of the regular functioning of its various components. The researcher should also be present at significant events. For example the weekly town meetings in which all members of White Collar School discuss and propose new activities, changes, etc. in their program is clearly an important event for understanding school dynamics.

Before beginning to be able to think of evaluating these programs, an anthropologist would try to gain as broad an understanding of the program as a whole as possible, focusing on the same elements on which one would focus in any society—the social structure, the cultural values, the linguistic system, etc. One might begin by using the kinds of unobtrusive measures employed by archaeologists who cannot interact with members of the societies they study, so they must try to understand them by observing the physical setting and the cultural artifacts. The physical settings of the two programs observed immediately hinted at fundamental differences in the programs.

Both programs are high school programs involving in-school academic training plus an out-of-school work experience (usual but not absolutely required in White Collar School), as part of the normal school program. White Collar School is located in a visibly affluent suburb of Columbus. There are tree lined streets, large, attractive houses and well-tended lawns. White Collar School is an alternative program that is part of the traditional high school in the town. It is located a distance from the traditional school in a house that immediately suggests the adjective "funky." Upon entering the building one is struck with a sense of relaxed disorder that suggests a creative, do your own thing type environment. Walls are painted odd colors and one sees remnants from artistic projects. Students seem to move around the building freely. The rooms seem to be multi-functional, and a very large room with a stage appears to be not only a performance area but also the locus of small and large group meetings.

There are large, brightly colored posters on the walls, particularly in the friendly and informal administrative office, with sayings such as "Following the Crowd Can Lead Nowhere," "Behold the Turtle Who Makes Progress Only When He Sticks His Neck Out." The fact that these particular posters were selected suggests a certain cultural orientation with an emphasis on individualism and personal risk-taking and responsibility. Other posters with what might be interpreted as an ego-supporting theme said "To Know You Is to Love You" and "Today Many Beautiful Things Will Happen to You."

Blue Collar School is in a very different kind of suburb of Columbus in which small frame houses seem randomly placed on mostly untended lots. The office of the alternative program is down a long corridor in a wing of a very institutional looking red brick building. Although we did not see the classrooms, I would conjecture that they are the standard oblong eye-ease green rooms with desks in rows with which those of us who went to public school before someone came up with the great idea of alternatives to them are all too familiar. The halls are empty of students. Film canisters lying on a desk display very inspirational titles, but a coordinator later says that they are entirely inappropriate to the program since they present unrealistic role models, like the Kennedys, to children of welfare and unemployment compensation parents. The regular students are in class; those in the alternative program are on their jobs. Thus the physical settings in which the two programs are located and visible cultural artifacts already suggest to the anthropologist programs with different world views that will be peopled and structured very differently.

Having unobtrusively gotten general impressions of the socio-physical ecological niche in which the program is situated, the anthropologist then seeks to know more about the formal structure and cultural values of this mini-society: who are the students and why are they there, when and why and by whom was the school founded, what is the composition and hierarchy of faculty and staff, what is the nature and schedule of curricular and extra-curricular events, what is the relationship between the alternative program and the regular school program, what is the school community's self-image, what do administrators, faculty and students like/not like about the program?

Some of these answers may be gotten through reading the formal documents of the institutions and very importantly through talking to people in different roles. Inspection of written records and both formal and informal interviewing are essential components of an anthropological approach, supplementing the researcher's observations of behavior. Written statements of purpose give a vision of the philosophical ideals as well as the ideal structure, functioning and intent. Other written statements, such as student publications, posted schedules and announcements, forms to be filled in, and memoranda can provide an idea of the actual workings of the mechanism. Memoranda

can be particularly useful in giving a sense of what actually goes on, significant or repeated events, day to day concerns, and often elements of the program or aspects of behavior that might be improved. Any kinds of assessment reports of student performance done by faculty members or work coordinators would provide very useful data, if accessible to the researcher-evaluator, as would be any written comments by students concerning their work placements. For example, in White Collar School the students draw up contracts with their faculty advisors indicating the courses they will take, and describing their work experience. These contracts are signed by the student, his/her faculty advisor and his/her parents, who are thus also involved in the process. Posted notices reflect the fact that students may suggest new courses by posting descriptions to ascertain the degree of interest in their idea. In addition, administration, faculty and students at White Collar School have collaborated in writing up a self-evaluation. It is a perceptive document that points up both positive and negative elements of the program as viewed from the different perspectives of the participants. It reviews the goals of the various categories of participants, and the changes in these goals as the program evolved and faced day to day realities as well as the processes set up to implement them and the changes that were made or should be made in these processes for a more satisfactory program.

The documentation to which we were exposed at Blue Collar School consisted of a very detailed program description setting out the goals, rationales and specific objectives of the program. This document would provide the researcher with a very clear outline of the program. While such a document could guide the researcher-evaluator in examining the process of the program and the intended outcomes, it should not limit his/her sphere of observation and inquiry, since actual process and outcomes often differ from the intended. Even if they coincide, however, it is important to ascertain the process through which the intended outcomes are implemented in order to evaluate effectiveness. In addition, surely the intended outcomes do not exhaust the effects that participation in the program has on the students, and these unplanned outcomes should also be noted in an evaluation.

The essence of the anthropological method is its multi-faceted approach, manifest in the tendency to look at the same issue from different perspectives and to gather information via different modes. Thus, in addition to the relatively unobtrusive methods mentioned earlier of pure observation of the setting and of cultural artifacts and of reading documents, observation of social interaction, both formal interviewing and more informal talking with people, as well as just hanging around and getting the feel of life in the society are major elements of an anthropological approach. In looking at the externalities of these programs the researcher begins to draw certain inferences. Reading printed documents—from posters to program descriptions—adds further data that may support initial impressions or lead the researcher to develop new impressions. Participant-observation research, because the researcher is constantly surrounded by the data out of which his/her hypotheses grow, involves a constant process of hypothesis development and modification as the researcher learns more and more and re-evaluates previous, more partial, understandings. The researcher's goal is ideally to learn to understand the society as its members understand it, and to be able to describe it in a way recognizable to them, even if his/her interpretation of certain aspects of it differs from that of some members because of differences in perspective. Consequently, talking with the members of the society is the single activity that consumes most of anthropologists' research time.

In order to get a real sense of society it is important to understand the role structure and to try to talk to people in different roles to understand how people in different statuses experience and perceive their society. In the alternative programs visited the major role categories were faculty/administrators—the two roles usually overlapping, students, and work experience coordinators. To understand the programs well, it is essential to talk to as many people as possible in each

category, and to talk with them when no members of the other categories are present, as well as in conjunction with members of other categories. It is easy to understand that students might not be totally candid in expressing any non-positive feelings they may have about a program in the presence of the person or people who judge them.

In White Collar School we had the opportunity to talk with students alone, in small groups and in a formal group with the chief administrator of the program. On the basis of these conversations I had the impression of a shared community of attitudes between students and faculty/administrators, and a definite candor in discussing what was good and bad about the alternative school, their reasons for being there, what they had hoped to get out of it, what they were getting out of it, and what, if anything, was missing and why. One student even took me to visit his work site, a television station. The students who chose to talk about the program were those who thought very highly of it, and who felt that it had had a very beneficial effect on many aspects of their lives. It would have been interesting, for a sense of balance, to have talked with students who did not like the alternative school and who planned to return or had returned to the traditional school. It also would have been good to talk to faculty members alone, and to talk to parents about the differences being in the alternative school had made for their children. However, although the contact was quite brief, and a researcher can hardly expect people to tell all in an initial encounter, I had the impression that, given the ambience of freedom and candor reigning in White Collar School, the people I talked with did give me an honest picture of the program.

In Blue Collar School students were out on their work assignment when we arrived so we first talked with a faculty member who then accompanied us to one work site to talk with a student, who never showed up, and his work experience supervisor, who had been working with the program for years and expounded on its benefits for the students from his perspective. We went to a second work site and talked with two students in the company of the faculty member and the work supervisor, a rather stilted situation. The students mainly expressed their pleasure about the benefits of the program in brief responses to direct questions and the faculty member and work supervisor assured us of the great benefits of the program for these two model students.

Although this was an expedient way, given the structure of the program, to allow members of our team to encounter program participants of all categories and to see the students in their work site, the immediate anthropological reaction to such a scenario tends to be the impression that the researcher is being presented with an ideal image of the subculture in question. Having seen the ideal, the anthropologist wants to know how the day-to-day reality corresponds to this ideal picture and becomes even more curious to observe the functioning of the in-school part of the program, and to talk to the members of each role status, especially the students, separately. In talking with the members of the three role categories together I had the impression that the script of the conversation followed the program description very well. It is quite possible that this is precisely the case since the program is very highly structured with very specific objectives. Perhaps the real meaning of our encounter was that the program is functioning exactly as intended.

In any case, whether or not the ideal and the real correspond exactly or not, it would be instructive to observe the process by which efforts to arrive at the goals are implemented. It would also be good to talk with students who would like to leave or have left the program because of their dissatisfaction. In contrast to the candid and very verbal style of White Collar School students, Blue Collar School students appeared more reserved and less apt to comment at length about it. Perhaps more elaborated responses would be possible in a less stilted setting, and perhaps a

researcher-evaluator would have to spend more time becoming a familiar member of the environment, a situation usually anticipated in doing participant-observation research. The researcher must take into consideration the fact that his/her own personal characteristics--gender, age, appearance, status, etc.—will influence responses, and try to evaluate the results of this factor. In addition, the researcher must realize that if he/she associates more with one category of people than another, for reasons of receptivities of common personal interests, he/she may be seen by the others as sharing or representing the interests of that category and reacted to accordingly.

In using formal and informal interview material as data it is, of course, necessary to try to weigh the meaning and veracity of people's statements. Certain guidelines are useful in this endeavor. The researcher will often find that if he/she talks to people in the formal context of the research in question, the respondents will give formal, "party line" responses, whereas in a less structured setting the same person will give more natural responses that more closely approximate his/her own real reactions, attitudes, etc. It is good to compare answers gotten from people in a group setting to those given by the same individuals when they are alone to get a sense of group attitudes as compared to those of the individuals composing it, which may or may not actually coincide because of individual circumstances.

The researcher will undoubtedly find that some people are more anxious to talk to him/her than others, and should seek to find out why in order to judge the information he/she provides. Is the person just open and/or loquacious, does he/she have an axe to grind, is he/she trying to enhance the portrayal of his/her status by the researcher, is he/she a self-appointed spokesperson determined to create a certain image of his/her subculture, or is the person someone who happens to be particularly interested in and informed about this subculture and considered knowledgeable by his/her peers? To decide which is the case the researcher must talk to many people, weighing their responses on the same issue against each other, taking their role-determined perspectives into account, and comparing data gathered in different ways about different aspects of the socio-cultural system, to test for consistency or inconsistency. Finding inconsistencies, the anthropologist should seek to detect their origins and meanings—to see if they represent problems in data gathering or interpreting or if they rather represent contradictions in the socio-cultural system that must be accounted for. Consistencies in data gathered from different sources should suggest that the anthropologist is getting an accurate image of the socio-cultural system.

Also it is reasonable to expect that as the researcher-evaluator gets to know the subjects of his/her research better and they him/her, their rapport, assuming it is positive, will become more candid. The researcher must also remember, however, that social groupings have secrets, myths, contradictions about which they are not proud, and what Wilson (1977) refers to as "sacred cows," aspects of belief or behavior that are not readily open to discussion or change. When touching on such items the researcher may expect avoidance of issues, polite non-responses, defensiveness, hostility and the like when touching upon sensitive issues. Such reactions should suggest to the researcher that he/she has touched upon an issue that, since so sensitive, must be of some importance. Circumspection and indirection are required of the researcher who seeks to understand more without offending or alienating his/her sources of information. Particularly when doing an evaluation the researcher should be conscious of the fact that people may be hesitant to share information with him/her for fear of possible repercussions for the program or for the individual, particularly if this information is not totally complimentary. The researcher-evaluator must also be conscientious and responsible in handling information that is sensitive, shared in strictest confidence, or potentially damaging to the program or individuals. It is not essential to tell all in order to present an accurate and scientifically valid portrayal or evaluation of a socio-cultural system. A sense of social ethics must accompany one's sense of scientific duty.

The White Collar School and the Blue Collar School have very different dynamics. The former has a very relaxed, creative, non-traditional style in which faculty and students participate in the decision-making process and faculty as well as students feel that they are in school to learn. The unpaid work experiences for these children of professional parents allow them to explore possibly interesting, more professional career options. The students see themselves as more individualistic and adventuresome than the students in the traditional school they chose to leave, some because they did not feel that they fit.

The Blue Collar School program, in contrast, is highly structured, and the relationship between students and both their faculty and advisors and their work coordinators is strictly hierarchical and authoritarian. The low income students in the program were/are potential high school dropouts who, however, were or have become aware of the value a high school diploma can have in their futures. The purpose of the program is essentially to provide them with the basic personal skills and knowledge necessary to be able to get and hold an unskilled job and make them eligible for a paycheck rather than a public assistance check. Thus the structure and intent of each program is in harmony with its sociological setting. The general nature and style of each program might have been predicted from the initial unobtrusive observations of its socio-physical ecological niche.

This apparent diametric opposition between the two programs with respect to physical context, sociological characteristics, structural qualities, and purpose of the work experience, belies, however, very fundamental commonalities that were also found in the other high school experiential education programs from which we met with representatives.* These commonalities were discovered as a result of what was of necessity a rather superficial linguistic content analysis of the comments of participants in all of the experiential programs—whether they represented opportunities to explore career options for the affluent or last chances to acquire minimal skills for the less advantaged. In all of the programs the students said that what they acquired as a result of their work experience, paid or unpaid, was a "sense of responsibility." They learned to "take charge of [their] own lives." They "felt more mature." They considered their work project to be a significant experience that taught them about "the real world," they learned about "life." Frankly, I was quite surprised to hear participants from all of the programs, wherever they fit on the socioeconomic scale, using exactly the same language, exactly the same terms in talking about what they had gotten out of the program.

As an aside, before elaborating on the implication of this striking linguistic characteristic, it was interesting to note that the great majority of the programs with which we had contact clustered at the top and bottom of the socioeconomic scale. They were directed toward either providing basic skills for potential or former high school dropouts that would perhaps allow them to work in a box factory or a dime store, or toward allowing students from schools in affluent areas to discover through practical experience the kind of professional career they might like most—at television stations, as business executives, and the like. There were few programs represented that were directed toward allowing average kids from average families to explore the world of work, perhaps precisely because of the very averageness of such an idea. Programs like Blue Collar School allow adolescents with few options in life to develop their potentials for being employable on a regular basis as

*Two postsecondary programs were represented that involved work experiences within an academic context, but other than this basic characteristic, they had nothing in common with each other and not enough in common with the high school programs that are of primary concern here to have a place in this analysis. In this context, they were interesting anomalies.

well as giving them exposure to aspects of life and a style of life for which their home environments could not prepare them. Programs like White Collar School allow young people who have the possibility of having many career options to discover what they are, and which ones may suit them best, thus allowing them to best actualize their potential.

Such polar differences in the kinds of experiential education programs that are most prevalent make the linguistic similarities their participants exhibit all the more striking and suggest that this linguistic feature may provide a key to evaluating the effectiveness of the various programs and the real nature of their effects on the students. Initially, the language the students use about their programs sounds as if they have all memorized the same script, which was clearly not the case. Nor had they acquired the same terminologies through association or cultural diffusion. Rather it appears, on the basis of what is admittedly nowhere near an exhaustive investigation, that although the styles, structures and methods of the various programs are very different in conformity with their different socioeconomic milieus and exigencies, their basic cultural values are quite similar. Initially the similarity of the language usage makes one wonder if the students have just learned the jargon of their program goals or the jargon of the school community well. The important issue for investigation is thus whether the students have just learned appropriate-sounding key words to use in talking about the effects of the program on them or if they have actually internalized in their behavior and attitudes the meanings that such words imply. How does a student in White Collar School or in Blue Collar School manifest to himself/herself or to others his "sense of responsibility" or increased "maturity?" What specifically does he/she know about "life" and "the real world" that he/she did not knew before, how did he/she acquire this knowledge in school or on the job, and precisely how has he/she begun to "take charge of his/her life?" These words express the outcomes that the linguistic evidence suggests to be uppermost in the students' minds. Since a principal characteristic of the anthropological research method is to try to understand a socio-cultural system as its members would, it is important to try to elicit the students' perspectives on these issues, ideally as the result of open-ended questions and free discussion--combined with the comments of significant others qualified to comment, and with the researcher's observations of this change process from the beginning of the program to the end. Thus, without entering into the specifics of any of the programs, an obvious area of evaluation, empirically suggested by even the briefest association with them, is to investigate to what extent the behavior approximates the language and how this came to be.

These experiential education programs, like most educational efforts, are concerned with something greater than just teaching specific skills. They are also concerned with socializing the individuals participating in them to be certain kinds of people. In the two programs observed, as well as in most of the others from which we talked to representatives, the purpose of the programs, in addition to providing students with experience working in the real world, was to build their self-image and self-confidence, and to give them a sense of responsibility and maturity as well as realistic knowledge about the world of work awaiting them. The programs were designed to effect behavioral, cognitive and affective changes in the students as a result of their work experience, the style and content of the in-school curriculum, and the nature of the social interaction between students and both the faculty and the work-experience supervisors. The participant-observation research method is particularly appropriate for evaluating both whether such changes do take place, and equally importantly, the precise nature of the process through which they take place.

This emphasis on the process of change is perhaps the most important unique contribution of the participant-observation method to the field of educational evaluation. Its significance lies in

the fact that this method allows the researcher-evaluator to ascertain which elements in the program are particularly functional in promoting positive change, which may be dysfunctional, and which may have little or no impact. This aspect of this process-oriented approach to evaluation is particularly important if the purpose of the evaluation is not only to judge the program but also to provide feedback for improving its continued functioning, and perhaps suggesting a model to be replicated in other programs. Such data on the dynamics of the program cannot be gotten at through the pretest-posttest evaluation style that is oriented toward measuring outcomes rather than the processes leading to these outcomes. The anthropological approach allows both for the evaluating of outcomes, and for the understanding of the process. By its focus on the actual, as opposed to the ideal, structure and functioning of the program, this method allows the researcher to assess what actually happened, what factors, events, structures, and values in the program actually made a difference, and perhaps which ones were lacking what might make a difference.* Is it the fact of actually working in the real world, for pay or not, of feeling like an adult, or is it the more individualized attention, encouragement, and instruction received by students in most of the programs, is it the "relevant" nature of the academic content of the program, or is it the relationship between the structure of the program and the social context in which it is located that makes the difference? Such answers are crucial to the evaluation of such a program, and can best be gotten at by using a research method involving the various components of an anthropological approach.

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EXPERIENTIAL EDUCATOR— CONCEPTUALIZER

The group likes the idea of the anthropological method. It is extremely useful to conceptualizers as a method of getting inside a program for a feeling of the thickness of it, the dynamics that often do not appear in tables of data and conventional evaluation designs. Triangulation of interview data is a useful technique because it will usually yield a discrepancy analysis of what people intended to happen, what they think is happening, and what is really going on. However, this is often negative and therefore sometimes politically dangerous. Consideration of these dangers is recommended. The alternatives of being rigid or exploring are interesting to consider. One person's rigidity is another's sense of structure. One person's exploration represents chaotic messing-around to another. It may be that the blue collar programs help lay the groundwork for upward mobility later through establishing good work habits now. Running a tight ship is not necessarily synonymous with being a Simon Legree who allows no freedom.

EXPERIENTIAL EDUCATOR— ACTION ORIENTED

It is a fascinating field. The basic strategy of how to observe without bias as anthropologists do is one that would be very difficult to implement. There are many examples of individuals who have tried to implement this strategy in their programs and they have had a difficult time. However, our group thought it would be a good way to see what really happens throughout a program, to increase generally the perceptions of everyone involved. Practitioners could use these strategies for internal revision by teaching them to both staff and students: The tools of anthropology, especially observing, are really what programs are trying to teach a lot of our students, at least at one level of experiential learning. The group would like more information on this type of measurement.

EVALUATOR—CONCEPTUALIZER

The thinkers about evaluation found this a very exciting alternative. It seems the kinds of questions this approach answers are those that people ask when they are thinking about adopting a model program and that evaluators often have difficulty answering. However, it will not get through JDRP. This seems to be the biggest single problem at the moment, although there does seem to be a trend in the direction of accepting these kinds of results. It is very hard to write a fundable design using such methods. Also, there is a danger in jumping into this too quickly because at present, personnel with the skills to do it properly may not exist.

The group had major problems along the moral-ethical line. Often, clients who are trying to work on evaluation designs are told, do not ask the question unless you are willing to hear the answer. A potential exists here for finding things that should be recorded, but that might pose difficulties. For example, if a discrepancy between the organizational chart and the true lines of authority is reported, it is going to do some damage in the program. The group feels that before a study of this sort is done, some decisions would need to be made about what will be reported formally or informally. The group would like to learn more about this method.

EVALUATOR—ACTION ORIENTED

The group spent some time discussing the myths of our culture and various subcultures, among which is the myth that truth comes in numerical form with statistical treatment. Even so, some program staff and members of boards of education in fact make their decisions for the most part on the basis of anecdotal descriptive evidence, sometimes in spite of the existence of numerical data to the contrary. Also noted was a congruence between the kinds of approaches and data that you are describing in terms of anthropological methodology, and the source of programs in experiential education. The educational settings of experiential education programs are rich miniature cultures, and it is appropriate to use anthropological approaches to figure out what is going on. However, the resources required to gather these types of data are very substantial.

The group tends to think of observation as a process tool, but there is no reason why it cannot be used to assess outcomes as well. That is to say, if one is describing very carefully what people are doing, over time data can be interpreted in the form of behavior changes that are taking place within a program.

October 1980

HIGHLIGHTS:

SELECTED STATEMENTS FROM THE LITERATURE ON COLLABORATION AND COORDINATION*

This set of materials consists of quotations and paraphrases considered relevant to collaboration and coordination. Thirty documents were selected from literature on educational change, management and organization, and social systems. Key statements from these documents were noted. The resulting collection of quotations was then analyzed (using a phenomonological approach) to determine emergent categories. Within each category, statements were clustered and sequenced, in order to present ideas systematically. The categories are:

- Planning
- Commitment
- Characteristics of Participating Organizations*
- Power and Influence
- Interdependence
- Tasks
- Communication
- Innovation

The information is presented in this form to allow readers to draw their own conclusions, to stimulate ideas for action, and to indicate the various perspectives of the writers cited.

*An organization may be a complete company or agency, or may be a unit or division of a company. Collaboration may occur as an interagency effort on between organizational units of a single agency.

*Jane Roberts, Research for Better Schools, Inc., Philadelphia, October 1980.

Planning

- The assumptions stimulating collaboration or coordination are that shared resources and cooperative efforts will produce a more forceful impact, especially when participants have a common interest in a significant goal.

  (Rubin, 1980)

- The increased intensification of needs for greater resources makes such an alternative increasingly attractive.

  (Aiken & Hage, 1968)

- The time must be right; there must be a real need and readiness to take action.

  (NWREL, 1980)

- In initiating planning/negotiation for collaboration, there must be...
  - a clear statement of intent (Gross & Mojkowski, 1977)
  - careful planning and organization (Rath & Hagans, 1978)
  - anticipation of barriers (Gross & Mojkowski, 1977)
  - establishment of mutually acceptable ground rules (Congreve, 1969)
  - identification of common group interests (Rubin, 1980)
  - goal congruence between the new collaborative organization and the member components or agencies (Rubin, 1980)

- In determining the area of collaborative activity, participants should:
  - mutually develop the plan (Congreve, 1969)
  - have realistic parameters (Gross & Mojkowski, 1977)
  - deal with real issues (Congreve, 1969)
  - focus on a specific project (Rath & Hagans, 1978)
  - determine a narrow focus, with few objectives, leading to accomplishments that bring about clear improvements and which provide products or services that would otherwise be unavailable (Rubin, 1980)

- In planning for implementation, the collaborators should:
  - make aims widely understood (Rubin, 1980)
  - ensure that more is not promised than can be delivered (Thompson, 1980)
  - develop activities for meaningful participation (Congreve, 1969)

- The basic approach of interactive planning is to "make it happen." It is the design of a desirable future and the invention of ways to bring it about...it focuses on all three aspects of an organization -- the parts (but not separately), the whole, and the environment. Instead of planning away from a current state we start planning toward a desired state.

  (Ackoff, 1977)

- Planning should be continuous or cyclical so that unanticipated problems can be dealt with as they arise, and improvements or modifications can be made (an adaptive planning approach).
  (Firestone, 1977: Heathers, et al., 1977; Moore et al., 1977)

- Three barriers to successful planning are: (1) the short-term perspective of school staff, (2) organizational weakness of school planners, and (3) failure of the planning process to culminate at a time when decisions can be made.
  (Goodwin, 1977)

- Planning for incremental implementation reduces risks.
  (Goodwin, 1977; Heathers et al., 1977)

Commitment

- Organizations do not move flexibly to maximize efficiency, but change slowly to minimize uncertainty.

  (Murphy, 1973)

- ...reduction of agency slack...executives tend to be chary of any new involvement carrying fringe rather than primary benefits.

  (Rubin, 1980)

- Characteristics of successful collaboration include:
  - investment of participants (Rath & Hagans, 1978)
  - commitment beyond individual tasks (Pasmore et al., 1978)
  - commitment of individuals to the task at hand and understanding of its relation to the organizational mission (Crandall, 1977)
  - commitment to the collaborative organization (Pasmore et al., 1978)
  - priority status for the project (Gross & Mojkowski, 1977)

- The organizational management and the operational staff must both be persuaded that collaboration is advantageous, so operating conditions include: cadre of highly committed people to contribute time and energy; sustained support of powerful individuals; steps taken to establish credibility; motivation of active interest.

  (Rubin, 1980)

- Encourage commitment by:
  - establishing an initial success (Congreve, 1969)
  - giving voice to advocates in the organization supporting collaboration (Crandall, 1977)
  - organizing advocacy campaigns; publicizing exemplary or innovative practices relating to the alliance's goals, and working at achieving a positive image (Rubin, 1980)

- The organization should provide clear rewards for individuals involved in the collaborative effort.

  (Gross & Mojkowski, 1977; Rubin, 1980)

- The Rand study indicates that effective support -- from district staff and school principals -- includes moral support illustrated by acceptance and approval of the project, reinforcement and enthusiasm toward teachers putting classroom improvements into practice, and establishment of good working relationships between and among individuals and groups involved in the project. Practical support is illustrated by real commitment of resources, provisions for training and on-going assistance; and classroom visits followed by constructive feedback.

  (See Berman et al., 1977)

Characteristics of Participating Organizations

- Organizations rarely collaborate as total entities
  (Rubin, 1980)

- There is a greater degree of complexity, i.e., more occupational diversity and greater professionalism of staff in those organizations with the most joint programs
  (Aiken & Hage, 1968)

- Organizations planning to become involved in collaborating need to have: an organizational role definition, flexibility, a focus on external issues, and a level of stability which encourages a freedom to risk
  (Gross & Mojkowski, 1977; Crandall, 1977)

- In staffing a collaborative project, the organization should assign individuals who:
  - are competent, have strong negotiating skills, and who are not already suffering role overload
    (Gross & Mojkowski, 1977)
  - have a reservior of personal energy to sustain progress during setbacks and conflicts, and who have a wide repertoire of systematic problem-solving skills (Crandall, 1977)

- An organization with no surplus reserves available could hardly afford joint programs . . . there must be some slack in the resource base . . . before any cooperative venture is likely
  (Aiken & Hage, 1968)

- Failure in collaboration is probable for organizations in which standard operating procedures dominate, role changes are avoided, and customary rituals govern
  (Rubin, 1980)

Power and Influence

- If we are to understand organizations we must understand the nature of power and influence for they are the means by which the people of the organization are linked to its purpose . . . . Distinguish between influence (an active process) and the ability to influence, or power (a resource)

  (Handy, 1978)

- Power is a function of the dependence of one party on another. To the extent that power interferes with mutual cooperation it should be redistributed

  (Pasmore, et al., 1978)

- In today's large and complex organizations the effective performance of most managerial jobs require one to be skilled at the acquisition and use of power

  (Kotter, 1977)

- Someone must take the initiative to ensure that members are brought together, that collegial relationships are formed, that information is exchanged, and so forth . . . The strong leader in this instance will behave as an idea broker and consultant rather than a source of firm and final decisions

  (Louis & Sieber, 1979)

- The high autonomy need of professional educators interferes with effective collaboration and innovation, as does the relatively high level of independence in performing the work

  (Derr, 1976)

- Many groups will fight integration because it may mean a loss of organizational autonomy and program visibility

  (Kelty, 1976)

- Suggestions that they share their sacred domains with other groups not only evoke noncooperation, but outright combativeness

  (Rubin, 1980)

- Realistic administrators may insist on dealing with persons (from another agency) of their own rank

  (Litwak, 1970)

- If effective collaboration is to occur . . .
  - the organization needs to be socio-educational rather than bureaucratic (Trist, 1978),
  - competent and effective leadership is necessary (Rath & Hagans, 1978; Gross & Mojkowski, 1977)
  - the concept of control should change from supervision to boundary maintenance (Trist, 1978)

- Coordination is inhibited when there is a lack of strong leadership, and when those involved have insufficient authority to influence decisions and actions

  (Rath & Hagans, 1978)

- Collaboration calls for individuals and groups to share mutually in the decision making process and to negotiate solutions to issues of mutual concern

  (Rath & Hagans, 1978)

- Decisions should be made by consensus, not coercion

  (Thompson, 1980)

- Coercion and dominance are barriers to collaboration

  (Trist, 1978)

- Voluntary involvement should be elicited when possible

  (Rubin, 1980)

- Propositions for collaboration include: effective advisory groups are crucial; actions cannot be imposed from the top down; there must be a recognition that local needs are being met.

  (NWREL, 1980)

- Two characteristics for collaborative projects are: governing structure has egalitarian controls; clients served participate in planning

  (Rubin, 1980)

- Failure to establish operating procedures that ensure equal power and participation will inhibit collaboration

  (Thompson, 1980)

- Characteristics of effective collaboration include: each party's decision to become involved in the joint venture results from choice; all parties have an equal stake in activities, usually involving contributions of equal amounts of money, time and effort; all have equal stake in consequences (good or ill)

  (Rath & Hagans, 1978)

- Leadership within action sets will be assumed by the most powerful or influential organization, and the greater the concentration of power in the hands of one organization's authorities, the easier the action set coordination will be

  (Aldrich, 1979)

Interdependence

- When effective collaboration occurs, members act on the following assumptions:
  - participants share resources (Rubin, 1980)
  - each is dependent on other(s) for accomplishment of work that each alone could not accomplish (Rath & Hagans, 1978)
  - there is a willingness to align own purposes with those of others, and to negotiate mutually acceptable compromises (Trist, 1978)
  - there is a common understanding of roles and responsibilities (Rath & Hagans, 1978)
  - mutual adaptations in a number of different areas will become necessary (Aiken & Hage, 1968)
  - there are: 1) active working partnerships among individuals and organizations; 2) shared responsibility and authority for policy making; equal investment and benefits for participants; 4) common understanding of expectations, responsibilities and constraints; 5) interdependence in carrying out activities. (Thompson, 1980)

- As implementation of the collaborative effort gets underway the following may become apparent:
  - organizations attempt to maximize their gains and minimize their losses ... they want to lose as little power and autonomy as possible in their exchange for other resources (Aiken & Hage, 1968)
  - the key elements are equity and dependability: members experience balanced outcomes in terms of reward for effort, depend on one another to provide goods and services required to fulfill the contract on a regular basis (Pasmore et al., 1978)
  - political conflicts over interorganizational and intraorganizational "turf" may develop (Rubin, 1980)
  - leaders sacrifice a small amount of autonomy for gains in staff, funds, etc. (Aiken & Hage, 1968)
  - cooperation = exchange. If exchange takes place and if agreements reached are perceived to be equitable, a cooperative system will develop (Pasmore et al., 1978)
  - some groups may be unwilling to share in decision making (and the related responsibility) (Rath & Hagans, 1978)
  - imbalance results in the more dependable group demanding greater rewards or offering less effort than the reliable group (Pasmore et al., 1978)

Tasks

- Collaboration requires work restructuring, continual task redefinition

  (Pasmore et al., 1978; Rubin, 1980; Trist, 1978)

- A serious barrier is the difficulty of coordination when tasks are not clearly prescribed (and they cannot be in the early stages)

  (Pasmore et al., 1978)

- Collaboration works most easily when tasks are straightforward

  (Crandall, 1977)

- When collaboration is effective, there is a common understanding of expectations of what each is to do, including knowledge of constraints under which each is working

  (Rath & Hagans, 1978)

- There should be careful sequencing of tasks and specific division of labor

  (Gross & Mojkowski, 1977)

- Attempting tasks that will substantially reduce the independence or visibility of any single organization will increase resistance by participants.

  (Trist, 1978)

- Coordination efforts require concentration on the contributive nature of tasks.

  (Pasmore et al., 1978)

Communication

- More highly differentiated organizations, which are characterized by decentralization and autonomy between departments, require greater efforts and a larger number of formal mechanisms to achieve integration

  (Lawrence Lorsch, 1967)

- The dispersed client-centered organization appears to require an organizational structure that maximizes the flow of information between the various members rather than relying on rules and standard procedures

  (Louis & Sieber, 1979)

- In collaborative efforts, communication should emphasize information sharing rather than direction giving and strive for a network structure of control

  (Pasmore et al., 1978)

- It would appear that it is more important for the manager to get information quickly and efficiently than than to get it formally

  (Mintzberg, 1973)

- Social networks are extremely important in the transmission of information

  (Louis & Sieber, 1979)

- The support and influence of peers might be of equal or greater importance than communication with a supervisor

  (Louis & Sieber, 1979)

- Encouragement of lateral communication will reduce the burden on supervisors and expand the problem-solving resources available to the organization

  (Louis & Sieber, 1979; Pasmore, et al., 1978)

- While informal communication is very important, it is also essential to maintain formal structures to promote collegial decision making and exchange of information. Where there are few or no formal structures that promote collegial decision making and exchange of information, the informal structures will become attenuated or weakened

  (Louis & Sieber, 1979)

- A prerequisite of formal rationalization is effective communication, a condition that cannot be taken for granted in a dispersed organization

  (Louis & Sieber, 1979)

- Under circumstances of imperfect knowledge, some decisions will undoubtedly be irrational

(Aiken & Nage, 1968)

- When field staff do not communicate with senior managers (for whatever reason) organizational intelligence and decision making may suffer seriously

(Louis & Sieber, 1979)

Innovation

- When coordination or interorganization collaboration is a new area of activity, the research on implementation of innovation is relevant. A syntheses of that research, in terms of the processes to be employed by those involved, results in three clusters of factors: general (which includes the dimensions of resources, focus of change, planning, and support), communication, and training and assistance. Barriers and facilitators are identified in many studies for each cluster of factors (see three related tables).

- In planning and implementing a new effort, such as intergroup coordination, phases of activity are likely to loop, spiral, or run in support of another at the same time. These phases are:

  - Identify/modify constraints/opportunities
  - Mobilize support
  - Engage in planning
  - Provide training and assistance
  - Implement incrementably by topic, site, population, or organizational unit
  - Design and conduct monitoring

  With provision for appropriate: communication participation motivation

  (Roberts, 1978)

- Evolutionary stages of a collaborative effort are:

  - formulation = determination of common interests, commitment, leadership by "a few dedicated people"
  - maturation = issues of purpose are resolved, policies develop
  - permanence = proven recore of success leads to high credibility and long-term success

  (Rubin, 1980)

- People generally accept innovations more readily if they understand them, regard them as relevant to their particular situation, and also help to plan them

  (Morrish, 1976)

Table 11

Processes - General

Facilitators	Barriers
Resource coordination*	Insufficient resources*
Optimal use of time & other resources*	Inefficient use of time*
Resource commitment	Resource rationing
Access to resources*	Unavailable resources*
Flexible/coordinated use of funds	Lack of guaranteed funds*
User need focus*	Mandated change*
School site focus	District focus
External/internal collaboration*	Conflicting external/internal interests*
Reciprocal feedback*	Change in external policies
Consistency of policy, commitment	Inefficient/inflexible external policies
External/internal simulation*	Poor external/internal communication*
Ongoing planning*	Short-term perspective
Goal consistency*	Conceptual confusion
Meaningful goals defined*	Goal ambiguity
Operational objectives structured	Confusing/overly ambitious goals
Planning capability	Lack of planning capability*
Agreement on needs/problems*	Conflicting interests
Requirement for task-relevant decisions*	Uncertainty
Mobilization of support*	
- commitment, approval	
- problem solving motivation*	- opportunistic motivation*
- recognition of need*	- stability*
- coalitions built for improvement	- vulnerability*
- use of administrative influence*	- inertia
- community support*	- ineffective community support*
- removal of regulatory obstacles	- "top down" imposition*
- "bottom-up" input	

(Roberts, 1978)

*"strong" items

Table 12

Processes - Communication

Facilitators	Barriers
Participation by all involved*	Cross-level conflict*
Use of informal networks	Impact of rank & status
Interactive decision making*	Teachers' lack of knowledge, skill
Perceived influence in decisions*	Teachers' lack of influence*
Task-relevant decisions*	
Face-to-face communication*	
Sense of "belonging"	
Role clarity*	
Functional leadership	
Democratic leadership	
Use of task and maintenance skills*	
Capability in conflict resolution	

*"strong" items

(Roberts, 1978)

Table 13

Processes - Training and Assistance

Facilitators	Barriers
Use of synergy	
- demonstration*	Role confusion*
- experiential learning*	Role overload*
- psychological reinforcement*	Vulnerability*
- face-to-face communication*	Lack of comprehension*
- quality materials/clear information*	
- concrete activities/assignments*	
- feedback mechanisms*	
- regular/frequent in school meetings*	Isolation*
- cross-school meetings	
- mutually agreed assessment measures*	Early/threatening evaluation
- ongoing assessment*	Invisibility
Use of incentives	
- recognition for accomplishment*	Threat of punishment
- inservice credit*	
- perceived achievement*	
- opportunity for professional growth*	
- increased responsibility*	
- allowance for individual differences	Variability
- allowance for release time	Teachers' lack of time

(Roberts, 1978)

*"strong" items

Collaboration and Coordination:

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RESOURCES FOR THE COLLABORATIVE PROCESS

Jon Persavich

October 1980

These references were compiled from the data bank of the Resource and Referral Service (RRS), which is part of a nationwide Research and Development Exchange (RDx) system sponsored by the National Institute of Education. RRS is located at the National Center for Research in Vocational Education, 1960 Kenny Road, Columbus, Ohio 43210. Telephone: (800) 848-4815; in Ohio (614) 486-3655.

THE NATIONAL CENTER FOR RESEARCH IN VOCATIONAL EDUCATION
THE OHIO STATE UNIVERSITY
1960 KENNY ROAD · COLUMBUS OHIO 43210

R&D EXCHANGE

INTRODUCTION

There exists in the educational literature considerable encouragement for the concept of collaboration. In 1977 David P. Crandall provided a definition of collaboration that is still applicable today:

> Collaboration is the process of working together to solve problems and act on the solution under circumstances where all parties believe that a mutually agreeable solution is possible and that the quality of its implementation, as well as the level of satisfaction they will experience, will be improved by virtue of engaging in the process.

In order for collaboration to be successful, there are certain variables that must be considered:

1. Each party's decision to become involved in the joint venture of collaboration results from choice; participation is voluntary.

2. All parties must have an equal stake in the activities undertaken, usually involving the contribution of equal amounts of money, time, and effort.

3. All parties must have an equal stake in the consequences of the collaborative process, whether good or bad.

4. Within the process of collaboration, decision making is shared; each party has veto power over what is undertaken.

5. Each party is dependent upon the others for the accomplishment of the work--that each, on its own, could not accomplish.

6. There is a common understanding of expectations of what each party is to do, including knowledge of the constraints and limitations under which each party is operating.

7. Collaboration must involve an organized effort with clearly defined plans for substantive action which elicit mutual involvement from all participants.

8. Collaboration also calls for a willingness among institutions to submerge some of their own self-interests to accomplish larger goals, as well as a mutual belief that collaboration will result in benefits to individual organizations as well as the group as a whole.

To be successful, collaboration calls for highly competent leadership and for participants that are not already experiencing role overload and who have the ability to give the collaborative process priority status within the context of the organization.

The organizations that are listed in this document are examples of successful educational collaboratives. It is hoped that you will find them interesting and helpful.

CONTENTS

CAREER EDUCATION PROJECT
Education Commission of the States, Suite 300
1860 Lincoln Street
Denver, Colorado 80295
Telephone: (303) 830-3600
Contact: Carol Anderson

The emphasis on career education, and on the need for a collaborative approach, originated at the federal level, but the response at the local and state levels has been wide-spread and diversified. This approach has lead to the development of new and innovative approaches in the planning and implementation of career education. This project offers the following publications:

(1) Collaboration in State Career Education Policy Development: The Role of Business Industry and Labor, Report No. 177, 66 pages, January 1979.

(2) Career Education Policies and Priorities of Business Organizations and Agencies, Report No. 120, 25 pages, January 1979.

(3) Legislating For Career Education: Handbook For State Policy Makers, Report No. 118, 76 pages, January 1979.

(4) Overview of State Career Education Laws, Report No. 119, 34 pages, January 1979.

This project was completed in December 1979. Supplies of the above publications are limited, but still may be obtained from the above address.

NATIONAL NETWORK FOR CURRICULUM COORDINATION IN VOCATIONAL AND TECHNICAL EDUCATION (NNCCVTE)

The NNCCVTE was developed by the United States Office of Education for the purpose of providing a controlled system through which vocational and technical education curricula could be developed and shared to avoid duplication of effort and to ensure that standards are upheld. There are six autonomous regional centers that function within designated catchment areas to serve the needs of the member states. Each Center publishes a resource document related to regional and federal priorities. In addition to regional newsletters all of these documents can be obtained through the appropriate State Liaison Representative. A major thrust of the network and the regional center concept is to bring together from each state those persons with curriculum responsibilities to share information. NNCCVTE also provides informational workshops, inservice on federally-funded curriculum products and selected other topics, as well as other services related to curriculum development and evaluation.

Name	Area Served
Lawrence F. H. Zane, Director Western Curriculum Coordination Center College of Education University of Hawaii 1776 University Avenue, West 216 Honolulu, Hawaii 96822 Telephone: (808) 948-7834	American Samoa, Arizona, California, Guam, Hawaii, Nevada, Trust Territory, Government of Northern Marianas
Rebecca Douglass, Director East Central Curriculum Coordination Center Professional and Curriculum Development Unit Department of Adult Vocational-Technical Education 100 North First Street Springfield, Illinois 62777 Telephone: (217) 782-0759	Delaware, District of Columbia, Indiana, Illinois, Maryland, Michigan, Minnesota, Ohio, Pennsylvania, Virginia, West Virginia, Wisconsin
Roy S. Hinrichs, Director Southeast Curriculum Coordination Center Mississippi State University Research and Curriculum Unit Drawer DX Mississippi State, Mississippi 39762 Telephone: (601) 325-2510	Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee
Joseph Kelly, Director Northeast Curriculum Coordination Center Bureau of Occupational and Career Research Development Division of Vocational Education 225 West State Street Trenton, New Jersey 08625 Telephone: (609) 292-5850	Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Puerto Rico, Rhode Island, Vermont, Virgin Islands
Bob Patton, Director Midwest Curriculum Coordination Center State Department of Vocational-Technical Education 1515 West Sixth Avenue Stillwater, Oklahoma 74074 Telephone: (405) 377-2000, Ext. 252	Arkansas, Iowa, Kansas, Louisiana, Missouri, Nebraska, New Mexico, Oklahoma, Texas
William Daniels, Director Northwestern Curriculum Coordination Center Commission for Vocational Education Building 17 Airdustrial Park Olympia, Washington 98504 Telephone: (206) 753-0879	Alaska, Colorado, Idaho, Montana, North Dakota, Oregon, South Dakota, Utah, Washington, Wyoming

NATIONAL ASSOCIATION OF STATE DIRECTORS OF SPECIAL EDUCATION (NASDSE)
1201 Sixteenth Street, N.W.
Suite 610E
Washington, D.C. 20036
Telephone: (202) 833-4193
Contact: Elaine Braslow, Publications Department

NASDSE's membership is composed of personnel from the nation's state education agencies who have responsibility for the administration of programs for exceptional children. In its promotion of special education programs, the NASDSE staff members monitor legislation and governmental regulations and maintain a close liaison with state, local, national, private and professional agencies, and organizations working with and for exceptional individuals.

This collaborative offers the following publications which outline their programs:

(1) SEA's and Large Urban LEA's: An Approach to Colloboration and Technical Assistance, 43 pages, June 1980, $4.00/copy.

(2) Bi-monthly newsletter, entitled The LIAISON, $40.00/year.

(3) Bulletin of the Special Education Office which outlines the activities of this office and changes in federal guidelines as related to special education, $30.00/year.

NORTHWEST REGIONAL EDUCATIONAL LABORATORY (NWREL)
Dissemination Services Program
Lindsay Building
710 Southwest Second Avenue
Portland, Oregon 97204
Telephone: (503) 248-6870
Contact: Tom Olson

The mission of NWREL is to help improve educational practice. The laboratory assists education, government, community agencies, business, and labor to improve the quality and equality of educational programs and process by:

(1) Developing and disseminating effective educational products and procedures.

(2) Conducting research related to educational problems.

(3) Providing technical assistance.

(4) Evaluating the effectiveness of educational programs and projects in relationship to problem-solving.

(5) Providing training in educational planning, management, and instruction.

(6) Serving as an information resource on effective educational programs and process.

In February 1980, the Dissemination Program of NWREL published a five book series entitled Interorganizational Arrangements for Collaborative Efforts. This series includes the following volumes:

(1) Seminar Proceedings outlines the results of two seminars that were held to explore the issues related to organizational collaboration for practice improvement.

(2) Commissioned Papers and (3) Literature Review are a result of work done to provide a basis from research and from other literature to further consideration of regional program issues.

(4) Project Studies represents a compilation of information regarding existing interorganizational arrangements for improving educational practice.

(5) Final Report derives and pulls together implications and conclusions from all of these activities outlined above.

These documents will soon be available from the ERIC System.

NATIONAL DIFFUSION NETWORK (NDN)
Division of Educational Replication
U.S. Office of Education
Room 3616, Seventh and D Streets, S.W.
Washington, D.C. 20201
Telephone: (202) 245-2243
Contact: Drew Lebby

NDN is a nationwide system established to help those involved in education acquire the materials and assistance they need to incorporate exemplary practices into their own programs. The NDN operates through two kinds of projects--Developer/Demonstrators (D/D's) and State Facilitators (SF's). D/D's are exemplary projects that receive federal funds to provide training, materials, and technical assistance to those who adopt their programs. State Facilitators are the principle link between D/D's and those seeking new programs. SF's help to identify suitable NDN programs and then assist with their adoption, training, and operation. Many State Facilitators also help local school districts with other planning.

NDN offers a publication entitled Educational Programs That Work which identifies exemplary programs on a nationwide basis. The Seventh Edition, Fall-1980, of Education Programs That Work is available for $5.50 (prepaid) from: Order Department, Far West Laboratory for Educational Research and Developement, 1855 Folsom Street, San Francisco, California 94103.

NATIONAL INSTITUTE OF EDUCATION (NIE)
1200 Nineteenth Street, N.W.
Washington, D.C. 20208
Telephone: (202) 254-5400

The National Institute of Education (NIE) is part of the U.S. Department of Education. NIE was created by the Congress in 1972 as the primary federal agency for educational research and development.

The Institute's mission is two-fold: to promote educational equity and to improve the quality of educational practice. To this end, NIE supports research and dissemination activities that will help individuals--regardless of race, sex, age, economic status, ethnic origin, or handicapping condition--realize their full potential through education.

The Institute's program initiatives grow out of a variety of activities which are planned to stimulate an exchange of views among educators, policymakers, parents, and other citizens on nationally significant educational issues. Seventeen regional laboratories and research and development centers, which receive much of their support from NIE, allow for both regional and national definition of educational problems and priorities.

NIE policy is established by the National Council on Educational Research, whose 15 members are appointed by the President and confirmed by the Senate.

NATIONAL GOVERNORS' ASSOCIATION
Center for Policy Research
44 North Capitol Street, N.W.
Washington, D.C. 20003
Telephone: (202) 624-5394
Contact: Catherine Clark, Consortium Director

The U.S. Department of Labor, Office of Youth Programs, has funded a study on The States Role in Coordinating Education, Employment and Training Programs for Youth. This eighteen-month project is being undertaken by a consortium of seven organizations: The American Council on Education, The American Vocational Association, The Council of Chief State School Officers, The Education Commission of the States, The National Association of State Boards of Education, The National Conference of State Legislatures, and the National Governors' Association. The National Governors' Association is the prime contractor for this collaborative effort.

The project developed out of concern for the weak linkages between Comprehensive Education and Training Act (CETA) and public education. The CETA Youth Employment and Training Program (YETP) encourages schools to increase their capacity to provide disadvantaged students with marketable skills by setting aside 22 percent of each prime sponsor's funds for in-school programs.

Persons interested in participating in this project are invited to indicate their interest by writing or calling the CETA/Education Consortium Director at the above address or telephone number.

PUBLIC SCHOOLS FOR COOPERATIVE RESEARCH (PSCR)
School Study Council
College of Education
University of Tennessee
Knoxville, Tennessee 37916
Telephone: (615) 974-2272
Contact: Charles Achilles

PSCR is a member of the National School Development Council (NSDC) which is a nationwide organization designed to improve educational practice. For further information regarding NSDC, please contact:

John Sullivan
85 Speen Street
Framingham, Massachusetts 01701
Telephone: (617) 879-7624

The purpose of PSCR is to improve educational leadership activities in East Tennessee by: defining new techniques, providing greater access to money, materials, and practices, motivating and stimulating action, creating a sense of community among superintendents, and sharing experiences and learnings of "what works." The cooperative also provides a bridge between the university and the field.

INSTITUTE FOR RESEARCH ON TEACHING (IRT)
College of Education
252 Erickson Hall
Michigan State University
East Lansing, Michigan 48824
Telephone: (517) 355-1778
Contact: Lee Shulman

IRT serves as a center for research on teaching with studies emphasizing teaching as clinical information processing, in addition to providing a forum for communication among researchers, teacher educators, and practitioners. IRT also provides a training program for future researchers.

IRT offers a publication entitled Teachers Attaining New Roles in Research: A Challenge to the Education Community (Conference Series No. 4) by L. D. Shalaway & J. E. Lanier, 41 pages, 1978, $3.50. The major thrust of this document is that collaboration between practitioners and researchers is vital. The process of collaboration is discussed at four levels:

(1) Teachers as co-investigators on the research staff.

(2) Teachers as research subjects.

(3) Teachers as research policy makers.

(4) Teachers sharing in research application and dissemination.

In addition, IRT publishes a newsletter, Communication Quarterly, which is directed at practitioners and includes a publication listing. This newsletter is free of charge.

THE NETWORK
290 South Main Street
Andover, Massachusetts 01810
Telephone: (800) 225-0686
Contact: Elsa Martz

The NETWORK is a nonprofit educational service and research organization serving schools and other educational clients in New England and throughout the nation. The NETWORK offers a wide range of direct service and consultative programs in such areas as policy planning and research, educational management training, staff development, program and staff evaluation, curriculum development and resource utilization, as well as in such content areas as special and vocational education. NETWORK services focus on the total client organization and emphasize knowledge dissemination and utilization as ways of improving education practice. NETWORK service programs are research-based and emphasize needs assessment, systematic problem-solving, and long-range planning for program improvement. The NETWORK also develops and distributes a wide range of products and publications to serve as management resources for educational administrators, to train teachers in instructional techniques, and to highlight important educational issues.

The NETWORK also offers the following publications from the CONSORTIUM REPORT SERIES:

(1) Case Studies in Program Improvement, $10.00. The Consortium employed external researchers to develop case studies of six schools. These cases are published in this volume with an analysis of the common themes identified across the six cases.

(2) The "Inside" Outsiders: A Study of Three Consortium Linking Agents, $10.00. In this publication, studies analyze three project linking agents experiences, document their work, and explain how Consortium linking agents became important partners in school improvement.

(3) Reflections on the Experience of Educational Linking Agents, $10.00. This publication contains observations on a variety of aspects of the linking agent's role, from the beginning work with a school or district through problem identification and planning to eventual disengagement. Papers were written by linking agents and their supervisors.

(4) Linking Agent's Tool Kit, $35.00. The "Tool Kit" is a set of readings and tools that linking agents can use when consulting with schools. It is intended as a resource for linkers, but could be useful for school-based planners who are contemplating working with a linking agent or those who would like to follow a rational problem-solving process on their own.

CHARLOTTE DRUG EDUCATION PROGRAM--DRUG ABUSE PREVENTION
1416 East Morehead Street
Charlotte, North Carolina 28204
Telephone: (704) 374-3211
Contact: Steve Newman

The major activity of this colloborative is to help prevent drug and alcohol abuse. The program is targeted at the community. Two service delivery teams--one in the schools and one in the community at large--are used to implement preventative drug and alcohol abuse programs. Program strategies include: engaging in information sharing; inventing new solutions and replicating solutions already derived.

Major educational programs that have evolved from this collaborative are entitled:

(1) I'm Special targeted at the 4th grade level, January 1980, $6.50/manual plus $0.65 postage and handling.

(2) Ombudsman targeted at the 5-9 grade levels, January 1980, $7.50/manual plus $0.75 postage and handling.

ALASKA NATIVE FOUNDATION
411 West 4th Avenue, Suite 314
Anchorage, Alaska 99501
Telephone: (907) 274-2541
Contact: Roger Lang or Beatrice Halkett

The Alaska Native Foundation was formed to supply information, training, and technical assistance to the newly organized regional and village corporations which were in the process of settling their long standing land claims. The Foundation has since produced a native land claims curriculum. The Foundation now offers educational programs and technical assistance to village corporations and provides similar assistance to school districts on matters related to race/sex equal opportunity for learners. The Foundation performs research on the relationship of Alaska Natives to the federal government in addition to conducting a survey of historic native organization records.

Major projects of the Foundation include:

(1) Village Management Assistance

(2) Fisheries

For a full description of the Foundation's activities an annual report to be published October 1980 can be obtained free of charge from the above address.

COOPERATIVE ORGANIZATION NEBRASKA EDUCATIONAL SERVICES UNITS (CONESU)
RR #2, P.O. Box 36
Beatrice, Nebraska 68310
Telephone: (402) 223-5277
Contact: Dan Mook

CONESU was formed in 1978 by the Nebraska Association of Educational Service Units (ESU). The purpose of CONESU is to promote and protect the educational opportunities of all children in Nebraska through intermediate agencies and to promote supplementary education services to local school districts.

Major projects of this collaborative include:

(1) Media Center, a video-tape duplication consortium which uses 16mm educational films.

(2) Cooperative purchasing for the procurement of educational materials, supplies, and equipment.

Both of these projects are conducted on a statewide basis.

For a review of the activities of this collaborative, the publication Nebraska Educational Service Units: A Decade of Progress 1967-1977, 31 pages, can be obtained from the above address free of charge.

NATIONAL ALLIANCE OF BUSINESS
1730 "K" Street, N.W.
Washington, D.C. 20006
Telephone: (202) 457-0040
Contact: Esther Friedman or Ellen Boyers

The National Alliance of Business has 130 local offices which focus on the following areas:

(1) Youth motivation task force (a speakers bureau).

(2) Youth employment (especially for the disadvantaged).

(3) College/Industry relations program (attempting to help graduates of "nonmainstreamed" colleges compete in the labor market).

(4) An inservice program for teachers and counselors (career guidance institutes).

Brochures related to the speakers bureau and college directories can be obtained free of charge upon request.

In addition, this collaborative offers a monthly newsletter, Show Case, which outlines the Alliance's programs. A bi-monthly program service which serves as a database and clearinghouse for employment within the industrial setting is also offered. Both of these documents can be obtained free of charge from the above address.

LITTLE TENNESSEE VALLEY EDUCATIONAL COOPERATIVE
400 Everett High Road
Maryville, Tennessee 37801
Telephone: (615) 984-5010
Contact: Jerry Morton

The major activity of this cooperative is the development of educational delivery systems and networking. Activities include:

(1) Teacher Inservice Programs.

(2) Psychological Services within Schools.

(3) Cooperative Purchasing within Seven School Systems.

(4) Bicycle Safety Programs.

(5) Special Education (Occupational Therapy, Physical Therapy) On-site Visits.

(6) Community Energy and Awareness Programs.

(7) Gifted Education Programs.

STAFF DEVELOPMENT OF EDUCATIONAL PERSONNEL: THE WEST VIRGINIA PLAN
Building 6/Room B-309
Capitol Complex
1900 Washington Street East
Charleston, West Virginia 25305
Telephone: (304) 348-7017
Contact: Jerry Moore

The major activity of this collaborative was to develop a systematic statewide program of continuing education for improving performance of school personnel

in West Virginia. The plan was designed to develop training programs to improve the performance of teachers and learners at the local level.

This project offers the following documents from the Systematic Program of Continuing Education for Public School Personnel in West Virginia series:

(1) Guidelines for the Preparation of the Three-Year County Continuing Education Plan, 7 pages, March 1979.

(2) Design for Implementation, 27 pages, December 1979.

(3) Guidelines for Conducting Local Needs Assessment, 8 pages, May 1978.

These documents can be obtained free of charge from the above address.

(4) Designing County Continuing Education Training Programs for Middle Childhood Educators, 57 pages, June 1980.

This document will soon be available through the ERIC System.

INTERAGENCY WORKSHOP: ENVIRONMENTAL EDUCATION
United States Forest Service
319 Southwest Pine
Portland, Oregon 97208
Telephone: (503) 221-2971
Contact: Ernie McDonald

The collaborative efforts of this workshop were directed toward: defining new techniques; providing greater access to materials and practices, motivating and stimulating action; increasing flow and amount of resources; sharing experiences and learnings of "what works;" and bringing together individuals with skills in the process for the development of curriculum units related to environmental education.

This collaborative offers lesson plans entitled Investigating Your Environment which outline their curriculum development activities. These free lesson plans can be ordered from the above address.

THE EXCHANGE
The Exchange at the Teacher Center
University of Minnesota
166 Piek Hall
Minneapolis, Minnesota 55455
Telephone: (612) 376-5297
Contact: Diane Lassman

The Exchange is the dissemination agency of the teacher center at the University of Minnesota. Its major goal is to link public and non-public

educational agencies with successful educational programs and to increase the flow and amount of human and material resources to those historically isolated from them. The Exchange also provides technical assistance to disseminators, conducts dissemination related research and evaluation, and develops products to support those activities.

FOUR STATE PROJECT ON INSERVICE
Oregon State Department of Education
700 Pringle, Parkway, S.E.
Salem, Oregon 97310
Telephone: (503) 378-8525
Contact: Don Egge

The purpose of this one year project was to provide greater access to materials, models, and practices in inservice education, and to share experiences and learnings of "what works." As a result of the joint collaboration between Oregon, Michigan, New York, and West Virginia, an informal network has emerged. State models are now being implemented. Strategies used in this project were: information sharing, facilitating common interests, joint problem-solving, and inventory of new solutions.

EXPERIENCE-BASED CAREER EDUCATION
Far West Laboratory
1855 Folsom Street
San Francisco, California
Telephone: (415) 565-3000
Contact: Ralph Baker

The target group for this collaborative on Experience-Based Career Education is secondary and post-secondary students. Its major activity is the orientation of youth to careers for academic study and the utilization of community resources.

This collaborative offers a publication entitled Community is the Teacher, 35 pages, 1977, which can be obtained free of charge from the above address.

INSTITUTE FOR LEARNING AND TEACHING
University of Massachusetts/Boston
Boston, Massachusetts 02125
Telephone: (617) 287-1900
Contact: Leonard Brown

Organized in 1970, the Institute's purpose is to increase the flow and amount of resources to schools, provide services to the community through the public schools, encourage teachers' participation in staff and curriculum

development, and provide greater access to materials, money and practices. Emphasis is placed on both urban and suburban schools. Programs include:

(1) Multicultural education.

(2) Teacher exchange on a bilingual basis between San Juan, Puerto Rico, and Boston, Massachusetts.

(3) Citizenship education.

(4) On-site inservice.

(5) Desegration within the Boston Public Schools since 1974

(6) Teacher training.

STATEWIDE BOARDS OF COOPERATIVE EDUCATIONAL SERVICES NETWORK (BOCES)
Weld BOCES
P.O. Box 578
La Salle, Colorado 80645
Telephone: (303) 839-2232
Contact: Bob Ewy

The primary purpose of BOCES is to increase the flow and amount of resources to local school districts. The primary focus is on children with special needs. Most activities deal with special education. This is accomplished by the administration of such programs as Title I, bilingual education, migrant education, etc. The network is now expanding to other instructional and non-instructional support service areas, with the general goal of economy and efficiency of service delivery.

PROJECT OPEN DOORS
20 West Fortieth Street
New York, New York 10018
Telephone: (212) 573-9514
Contact: Frances Low

Project Open Doors is a school/industry service sponsored primarily by the Economic Development Council of the city of New York and the National Alliance of Business. The project provides the following services:

(1) Speakers in the Classroom Bureau.

(2) Urban and Career Resource Center with materials related to the New York City economy.

(3) Workshops to help teachers learn about industry.

In addition, this collaborative offers guides to the New York City economy which are directed at the secondary school level.

THEE DOOR: NEW HORIZON PROGRAM
100 West Columbia Street
Orlando, Florida 32804
Telephone: (305) 420-3682
Contact: Jerry Fuelner

Thee Door began in 1971 as part of the Orange County Health Department when the community was experiencing a drug epidemic. This program created a system in the community where the school provided two teachers, a part time occupational specialist, and educational materials to the Youth Development Center for a residential and day care program. This program was initiated to provide substance abuse counselors to a large high school of approximately 3,000 students. The New Horizons Program grew out of a need within the schools for specialized programs.

RESEARCH AND DEVELOPMENT EXCHANGE (RDx)

This Program was initiated in 1976 as a network of regional educational laboratories and a university-based R&D Center working to improve the quality and utilization of school improvement resources available in various regions of the nation. The RDx is composed of seven regional exchanges serving 4-12 states each and four central support services. RDx works with 43 State Educational Agencies (SEA) to reach the staffs of education service agencies, professional organizations, and, whenever possible, local education agencies.

The following four central support services cut across the regional boundaries of the exchanges and support all of them in their efforts to serve SEA's and practitioners: (1) The R&D Interpretation Service (RDIS) at CEMREL transforms R&D based knowledge into forms readily usable by educational practitioners; (2) the Resource and Referral Service (RRS) at Ohio State University establishes a database of available information resources (including organizations and people) on R&D outcomes; (3) the Dissemination Support Service (DSS) at Northwest Regional Education Laboratory provides workshop training and related support for individuals responsible for dissemination activities in their states or districts; (4) the System Support Services (SSS) at Far West Laboratory facilitates the operation of the total R&D Exchange, including coordinating efforts to inform the R&D community of practitioners' reactions and needs.

Activities of the RDx include: (1) individualized technical assistance to SEA staffs; (2) regional and state workshops on topics such as reading, mathematics, information resources, program implementation, school improvement strategies, etc.; (3) RDIS synthesis of current research findings on teaching

reading and mathematics which are published in Research Within Reach, and distributed to SEA staff, curriculum specialists and professional organizations; (4) regional dissemination forums for dissemination staff and service providers to establish collaborative activities on school improvement needs.

The addresses of the seven regional exchanges are:

Appalachia Educational Laboratory, Inc. (AEL)
P.O. Box 1348
Charleston, West Virginia 25325
Telephone: (304) 344-8371
Contact: Jack Sanders

CEMREL, Inc.
3120 59th Street
St. Louis, Missouri 63139
Telephone: (314) 781-2900
Contact: Dane Manis

Mid-continent Regional Educational Laboratory (McREL)
4709 Bellview Avenue
Kansas City, Missouri 64112
Telephone: (816) 756-2401
Contact: Susan Everson

Northwest Regional Educational Laboratory (NWREL)
710 S. W. Second Avenue
Portland, Oregon 97204
Telephone: (503) 248-6869
Contact: Joe Pascarelli

Research for Better Schools, Inc. (RBS)
444 North Third Street
Philadelphia, Pennsylvania 19123
Telephone: (215) 574-9300
Contact: Richard McCann

Southwest Educational Development Laboratory (SEDL)
211 East Seventh Street
Austin, Texas 78701
Telephone: (512) 476-6861
Contact: Preston Kronkosky

Southwest Regional Laboratory (SWRL)
4665 Lampson Avenue
Los Alamitos, California 90720
Telephone: (213) 598-7661, Ext. 367
Contact: Roger Scott

DISSEMINATION AND UTILIZATION FOR VOCATIONAL EDUCATION (D&U)
National Center for Research in Vocational Education
The Ohio State University
1960 Kenny Road
Columbus, Ohio 43210
Telephone: (614) 386-3655
Contact: Norman M. Singer, Program Director

The D&U's function at the National Center for Research in Vocational Education is to address the problems and voids in vocational education dissemination as identified by the Committee on Vocational Education Research and Development (COVERD). Using a simple paradigm derived from the COVERD report, several D&U projects were initiated during 1977 to improve nationwide dissemination by:

(1) managing the spread of information and materials which could be useful in vocational education program improvement nationwide.

(2) promoting the exchange of information and resources among national, state, regional and local agencies and individuals.

(3) capacitating and eliciting choice of suitable information and resources by practitioners and researchers in their problem solving and program development work.

(4) facilitating the orientation and training needed to insure effective use of disseminated information and resources.

During 1978 and 1979 several of the D&U projects were organized with more programmatic ends in view. The integration and cross-current effects among projects were given increased emphasis and the D&U Program continued to:

(1) commission the development of state-of-the-art research papers and synthesis documents regarding major R&D issues in vocational education.

(2) develop assorted products which transformed state-of-the-art knowledge into practical, palatable forms for researchers, practitioners and policy-makers.

(3) compress state-of-the-art knowledge into "briefs", which rendered critical knowledge easily disseminable and usable.

(4) identify worthy program improvement products which could be publicized nationwide so that potential users could get in touch with developers/proprietors.

(5) select best available program improvement resources and disseminate them nationwide.

(6) facilitate or provide technical assistance to users/adopters in the forms of complimentary, introductory products and direct technical assistance with orientation and training endeavors.

(7) enable the exchange of information among national, state, regional and local agencies and actors regarding how to get the best from vocational education through improved dissemination.

(8) offer the D&U Program Tentative Product Selection Criteria for use in other produt seletion activities and program management tasks nationwide.

MINNESOTA EDUCATIONAL COMPUTING CONSORTIUM (MECC)
2520 Broadway Drive
(Highway 280 & Broadway)
St. Paul, Minnesota 55113
Telephone: (612) 376-1122

MECC was founded in 1973 as an organization created by the public educational systems in Minnesota to coordinate and provide computer services to students, teachers and educational administrators throughout the state. The member systems of the Consortium include: the Minnesota State Department of Education, the University of Minnesota, the Minnesota State University System, the Minnesota Community College System, and the Minnesota State Department of Administration.

The primary purpose of MECC is to assist member systems in the coordination and utilization of computer resources through a cooperative planning and decision-making structure. The two major goals related to this purpose are:

- To coordinate and assist in planning the educational computing activities of the member systems through the maintenance of a long-range master plan for educational computing, the development of short-term or biennial plans, and the on-going review of proposals for specific facilities and services.
- To serve the member systems by meeting their needs in the areas of the management and operation of computer facilities, system design and development, fiscal management or "brokering" of specific computer services from provider to user, consultation and training, and the conduct of special projects involving the application of the compu[illegible] in education.

Two bi-monthly newsletters, USERS and DATALINE, and a quarterly "MECC Publications and Program Price List" are available free by writing to MECC Publications at the above address or by calling (612) 376-1118.

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